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# UNDERSTANDING THE PHENOMENON OF TRAFFICKING COMMODITIES

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An Application of Management Theory to Global Criminal Industries

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*A thesis submitted in partial fulfilment of the requirements for the  
Degree of Masters of Commerce in Management*

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By Matthew James Alexander Little

Primary Supervisor: Dr Paul Knott

Associate Supervisor: Professor C. Michael Hall

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Department of Management Marketing and Entrepreneurship

University of Canterbury

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## **Author's Note**

In 2011, I was presented with the opportunity to participate in a school trip known as World Challenge. This was an 18 month international program at the end of which I did an expedition designed to test my mental and physical limits. My expedition was to Thailand and Cambodia. As a 16 year old, this trip exposed me to a world of marginalisation, poverty, inequality and injustice through visiting local hill tribe villages in Chiang Mai, staying in red light districts of Bangkok and working in an orphanage in Cambodia. Though too young to comprehend what I saw at the time, much of what I observed has had a lasting impact on me. As I grew to understand what I saw and began my own education of trafficking and its many forms, I realised that helping to combat these crimes was something I was extremely passionate about. This thesis therefore represents a small step in achieving a longstanding personal goal of mine which is making my own contribution, however small, to the fight against trafficking.

## **Abstract**

This thesis presents the findings of a systematic literature review on the topic of trafficking and its four key subgroups; human, drugs, weapons and wildlife trafficking. The aim of this review is to synthesise the conclusions of current literature to determine whether an application of management theory concepts and frameworks can be applied to the context of trafficking and make practical and theoretical contributions towards understanding and combatting these phenomena. This research idea was informed by a thematic literature review which revealed an absence of research on trafficking from a business perspective, despite the wide acceptance of trafficking as a global criminal business. Using a pre-defined and methodical protocol the systematic review revealed a total of 63 relevant articles of which the full texts were analysed in two distinct ways. Firstly, an analysis of article characteristics and their impact on the state of current literature was carried out, followed by an analysis of the thematic content and findings reported in each article. This was done by using key areas of management research including but not limited to, human resources, strategic management, organisational behaviour and, innovation and entrepreneurship, as a theoretical lens with which to view trafficking processes or practices. Data collected in this analysis was then used to reveal trends in the literature and draw meaningful conclusions about how management theory can be applied to trafficking and help to illustrate points of strategic weakness with which to further combat trafficking crimes. It is hoped that this study can inform both management and trafficking scholarship and make practical and theoretical contributions to combatting the crimes.

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# 1. Introductory Chapter

This thesis presents a systematic review of the literature that reports on the four key sub-categories of trafficking; human, drugs, weapons, and wildlife. This is to determine the extent to which core management theories, concepts and frameworks help explain the business activities and managerial behaviour of trafficking organisations. This chapter will introduce the reader to key conceptual and definitional aspects of trafficking as well as outline the purpose and structure of this thesis.

## 1.1. Introduction

Trafficking of illicit commodities constitutes an extremely dynamic and highly adaptive criminal market (United States [U.S.] Department of State, 2017). The trafficking of drugs, humans, wildlife and weapons are ranked in that order as the four most lucrative criminal industries in the world (U.S. Department of State, 2017). Constantly threatening the national security of countries, public safety of citizens as well as challenge the freedom and dignity of people across the world, traffickers have successfully withstood the efforts of national governments to investigate and prosecute these crimes (U.S. Department of State, 2017). According to the United Nations Office of Drugs and Crime [UNODC] (2010), transnational organised crime has grown and diversified at a rate that far surpasses a global effort to combat such activities. Economic globalisation has fostered a world in which organised crime has been allowed to flourish into highly structured and commercially affluent organisations (Greer & Purvis, 2016). The exploitation of private and public sector facilities, intended for legal trade, communication and travel has led to an increase in efficiency and growth to criminal markets on an international scale (Greer & Purvis, 2016; Kara, 2009; UNODC, 2010). Due to the trans-nationalisation of trafficking crimes, countries across the world have made a commitment to helping combat trafficking through the signing of the United Nations Convention against Organised Crime. However, the spread of violence, acts of corruption and growth of modern day slavery are still a global threat which is why further steps must be taken to pursue an end to such crimes (UNODC, 2016).

This thesis constitutes one small step to achieving a far greater goal of ending one of the highest priority problems plaguing our world today. Considering the enormity of such a problem it is no surprise that trafficking has been researched from a number of different

disciplinary perspectives including law and policy, law enforcement, human rights, and various fields of academic research (Adamoli, Di Nicola, Savona, & Zoffi, 1998; Gallagher, 2001; Hathaway, 2008; Southwell, Brewer, & Douglas-Jones, 2018). It is surprising that trafficking, which constitutes the largest criminal market in the world, and an extremely lucrative business (Gaines & Kremling, 2013; Shelley & Bain, 2015) is underrepresented in business and management research. In fact, it is suggested that to further combat the crime, there is a need “...to focus on the business side of trafficking and the markets which support its existence in order to achieve a more long-term impact” (Aronowitz & Koning, 2014, p. 84). There is therefore value in synthesising the conclusions of trafficking literature and exploring the phenomenon from a new, broad management perspective, as a means of further combatting the crime. Consequently, this will also contribute to our current understanding of management theory and its breadth of application. To conduct this research, a systematic review of literature was undertaken. This involved the collection of and summary of empirical evidence that fit a set of pre-defined criteria. Data was then extracted from this evidence to answer specific research questions about the relationship between trafficking and management theory.

## 1.2. Research Objectives

It is the aim of this thesis to comprehensively synthesise the findings of current trafficking literature in a systematic review. This synthesis looks to provide insights into the following research questions:

1. In what ways do core management theories, concepts and frameworks, help to explain the business activities and managerial behaviour utilised by trafficking organisations?
2. How do various article characteristics such as authorship, publishing year or journal outlets describe the body of trafficking literature?
3. How can the understanding established from objectives one and two highlight areas conducive to combatting trafficking crimes?

### 1.3. Project Justification

There are both managerial and practical motivations to this literature. Current management scholarship could benefit from this research as the application of management theory will be stretched to cover an understanding of settings beyond the narrow spectrum of traditional organisational theory. This will give practitioners an understanding of the potential adaptability and breadth of application that current management theory can have when applied to the illicit end of the business spectrum. Conclusions can therefore be inferred as to whether current management theory is still valid when applied to a criminal business context; or suggest that our understanding of management theory is too narrow and must be expanded to cover criminal business practices. Insights will also be provided into understanding the production of trafficking research and identify potential limitations, biases and areas that require further development. Finally, this thesis will provide a new lens to observe trafficking practices which may help to identify new points of strategic weakness in their operations. This will inform a practical understanding of trafficking and aid in the development of means to combat these crimes. The justification for this research lies within expanding the application of management theory, increasing understanding of trafficking research and contributing to the ongoing efforts to fight trafficking as a global crime.

### 1.4. Definitions

It is important to establish clear definitions of the terminology used in this thesis to ensure research clarity. For this reason, this thesis has included a section designed to make relevant concepts clear and the differences between them distinct. This is to ensure the author and readers are clear regarding choices to either include or exclude material during the systematic review as well as understand a number of often misinterpreted concepts; for example the difference between ‘smuggling’ and ‘trafficking’. As this thesis will not be used as a means for conviction of criminals (the way a legal definition is), a decision was made to adopt clear and simple working definitions using key etymological and definitional themes. The following section and chapter shows the legal definitions and a discussion of their main themes as means of illustrating the process for choosing the adopted definition used for this research.

### 1.4.1. The Difficulty of Defining Trafficking

Trafficking as a phenomenon is often defined in categories based on the form of trafficking in question and the country within whose legislation the definition is being used. As trafficking of illegal goods constitutes a variety of political, legal, and ethical violations, the phenomenon has a multidisciplinary research base. The definitions used in different professions vary, and in some cases the conceptual distinctions between them have become blurred. For this reason, no one universal definition of the term ‘trafficking’ exists within the academic field that is used by all practitioners. For the purpose of this thesis, Black’s Law Dictionary (10th ed. 2014), the Oxford English Dictionary [OED] (2017) and national legislative documents were consulted in conjunction with relevant academic literature, an expert panel and the supervisory team to adopt a definition that is representative of and encompasses the themes from these sources. The United States Code was adopted as the primary source for legislative material. This was for accessibility reasons and because the United States is recognised as a key member state of the United Nations, acting as a leader in anti-trafficking strategies and involvement in the *United Nations Security Council*, the *UN Advisory Council for Human Trafficking* and the *International Scientific and Professional Advisory Council of the United Nations Crime Prevention and Criminal Justice Programme* (United Nations, 2018).

### 1.4.2. Human Trafficking Defined

The legal definition of ‘trafficking in persons’ or ‘human trafficking’ is:

*“The recruitment, harbouring, transportation, provision, or obtaining of a person for labour or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery; Or sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age.”*  
(22 U.S.C. (C) 78 § 7102, 2000)

Through an understanding of the key conceptual distinctions that define trafficking and a consultation with members of the review panel it was agreed that there are three critical elements that define human trafficking; the act, means and purpose (Southwell et al., 2018). Table 1 shows these defining criteria. It is the presence of one of each of these three

components that will be used to define the scope of material used when addressing cases of human trafficking in this thesis.

#### *Defining Elements of Human Trafficking*

<b>Act (What is Done)</b>	<b>Means (How it is done)</b>	<b>Purpose (Why it is done)</b>
Recruit	Threat	Forced Labour
Transport	Force	Sexual Exploitation
Transfer	Coercion	Prostitution
Harbour	Abduction	Modern Slavery
Provide	Fraud	Servitude
Obtain	Abuse of power or vulnerability	Removal of Organs
Receipt of Person	Giving payments or benefits to achieve consent for exploitation	Other types of exploitation

*Table 1: Definitional Elements of Human Trafficking (UNODC, 2018).*

It must also be noted that, in most Western jurisdictions, where a victim is under eighteen years of age, only the act and purpose need be present to identify whether trafficking has occurred. This is because children cannot consent to their own exploitation, therefore only an *act* carried out for the *purpose* of exploitation is required to establish that trafficking has occurred (Southwell et al., 2018). It is therefore presumed that the involvement of anyone under eighteen is a case of trafficking regardless of the means by which they were made to be involved.

There is a key conceptual difference between the terms human trafficking and human smuggling. Each term has occasionally been interchanged due to a misunderstanding of their respective definitions. An awareness of this difference was taken into account when writing the review protocol and is addressed in further detail in section 2.1.4. This thesis focuses primarily on the trafficking phenomenon.

### 1.4.3. Drug Trafficking Defined

The legal definition of drug or narcotics trafficking is;

*“Any illicit activity to cultivate, produce, manufacture, distribute, sell, finance, or transport narcotic drugs, controlled substances, or listed chemicals, or otherwise endeavour or attempt to do so, or to assist, abet, conspire, or collude with others to do so.” (21 U.S.C. (C) 24 § 1907, 1995)*

Where the term ‘Narcotics’ means;

*“Any compound, mixture, or preparation; whether produced directly or indirectly by extraction from substances of vegetable origin, or independently by means of chemical synthesis, or by a combination of extraction and chemical synthesis; which contains any quantity of controlled substances.” (21 U.S.C. (C) 13 § 802, 1988).*

Unlike human trafficking, drug trafficking is not concerned with the *means* or *purpose* of the definition as the trafficking of an inanimate object does not need to be coerced, threatened or forced into participation. For this reason, only the act is relevant to this study. In this research, the author has therefore chosen to adopt the legal definition as it is unambiguous and is clear enough to establish drug trafficking in articles of this study.

It is important to note some conceptual similarities and differences for drug trafficking. As is the case with human trafficking, drug trafficking does not require that a person be involved in the *transportation* of the commodity alone for it to be punishable, but rather that any involvement in the activity is enough to constitute trafficking.

### 1.4.4. Weapons Trafficking Defined

The term ‘weapons trafficking’ constitutes the combination of a number of key definitions taken from the United States Code. This is because weapons constitutes an overarching term for firearms, destructive devices, nuclear devices, ammunition or a breakdown of their respective constituent elements, and product derivatives. The key elements of related definitions from the U.S.C. have been taken to form a definition that is more reader-friendly. For the full definition, please refer to Title 18, Section 922 of the U.S. Code; Firearms.

For the purpose of this thesis the adopted definition of weapons trafficking is;

*“Any person except a licensed importer, licensed manufacturer, or licensed dealer, engaging in any illicit activity regarding the business of importing, manufacturing, or dealing in firearms, destructive devices, nuclear devices, ammunition or any part of the aforementioned constituent elements and product derivatives or in the course of such business to ship, transport, or receive any firearm in interstate or foreign commerce” (18 U.S.C. (C) 44 § 922, 2004).*

#### 1.4.5. Wildlife Trafficking Defined

The term wildlife trafficking has been defined as; “the poaching or other illegal taking of protected or managed species and the illegal trade in wildlife and their related parts and products” (16 U.S.C. (C) 95 § 7601, 2016). The term ‘wildlife’ refers to “the native flora and fauna of a particular region” (OED, 2017), meaning wildlife trafficking is not subject to animal trafficking alone, but plant species and their respective derivatives as well. It is also often thought that wildlife trafficking is solely the capture, transport and sale of live animals. While this is one aspect of wildlife trafficking, it is more often the case that demand for animal-based products such as skins, ivory or medicinal extracts, leads to the killing of and sale of animal parts as opposed to living animals. In defining wildlife trafficking clearly, this research will refer to all manner of trafficking in wildlife rather than live animals alone.

In terms of research conducted on the trafficking of native fauna and plant derivatives, there is the possibility of bridging a grey area between the definitions of wildlife and drug trafficking. Drug trafficking by definition includes the transport or cultivation of any product that can be processed or synthesised to create a narcotic substance. This includes a number of plant species, hence an overlap, as the trafficking of plant species and its derivatives can be defined as wildlife trafficking. An awareness of this conceptual similarity was taken into consideration during development of the review protocol.

### 1.5. Thesis Outline

This thesis consists of five chapters. This first chapter has introduced the purpose for this research through an explanation of trafficking and the global impact it has. The chapter then intended to familiarise the reader with the objectives and justification of this research

as well as highlight how this fits and contributes to current management research. Finally, an introduction of the key definitional issues surrounding research on trafficking was carried out to delineate the scope of this research and to provide insight in to the complexity of defining trafficking.

Chapter two, Literature Review, will formally discuss those themes that are most relevant to the topic of trafficking. This addresses some of the more mainstream research areas of trafficking such as legal, law enforcement and human rights disciplines. An explanation of the *informal business sector*, a grey area in the global market, is also discussed. This seeks to position this research in the field of management and act as a source of comparison between formal, informal and criminal business practices. It is the intent of this chapter to narrow the focus of more general themes to highlight where gaps in research appear and justify further the chosen area of interest for this review.

Chapter three, Methodology, describes the process used to create a systematic review protocol, designed to assess eligibility and draw significant conclusions from a range of trafficking research. The PRISMA-P framework was used as guide for conducting the review and reporting the findings. The final section of this chapter puts the theory of previous sections into practice and comprehensively outlines the review process in a systematic and transparent fashion whilst addressing the difficulties that arose during the review.

Chapter four, Results and Discussion, presents the findings of this review. Results pertaining to the characteristics of articles were analysed and discussed followed by discussion of the thematic content. Conclusions were then drawn on how different trafficking industries conduct their business.

Chapter five, Conclusion, concludes the thesis with a reiteration of the research purpose, discussion of research limitations, suggestions for future research and a concluding summary of findings.



## 2. Literature Review

A thematic review of literature was carried out as a means of exploring similarities and inconsistencies in the themes of key trafficking studies. This is a scoping study which defines the size of the research field and encompassing sub-fields as well as act as a guide for informing key vocabularies, theories, methods and outcomes of this project (Tranfield, Denyer, & Smart, 2003). This knowledge base was used to identify research gaps and guide the development of objectives that contribute to expanding the application of management theory.

This review first analyses trafficking literature in its broadest form as a means of identifying key themes and research fields that have been explored to date. From an analysis of these themes, inferences can be made about potential knowledge gaps and where further research can be conducted. In addition, themes emerged to provide a context and setting for this report and provide support for further research. These themes will be developed further to assess the application of management theory to the context of the 'informal sector'. This assessment will be used as a means of analysing the application of management theory to criminal business by acting as a source of comparison between informal and criminal business. Following this section, a review of fundamental management theory literature will be assessed in order to gain insight into the ways in which practitioners have applied management theory to a variety of different contexts. An assessment of the themes in this body of literature will be made to determine whether management theory is limited by its narrow application to 'formal' organisations alone. This review will conclude by discussing what literature is currently available on management theory application specifically within the context of human, drugs, weapons and wildlife trafficking to address and summarise the limited knowledge and varying conclusions that currently exist.

### 2.1. What is Trafficking?

Organised crime is an ever changing and flexible phenomenon that manifests itself in many ways; the trade of illicit commodities, known as trafficking, being one of those many. Trafficking organisations range from small criminal groups to large scale transnational networks that are able to adapt quickly to the efforts of various agencies seeking to combat their crimes (UNODC, 2018). This section seeks to create an understanding of the nature and

extent of trafficking around the world in order to inform and guide the research objectives of this study.

### 2.1.1. Etymology

The term 'traffic' has been used as both a verb and noun since as early as the year 1323 (OED, 2017). It is thought to have originated in the commerce of the Mediterranean with various derivatives coming from the languages of nations who participated in trade in this part of the world; including French '*trafique*', Spanish '*tráfico*', Italian '*tráfico*', Portuguese '*tráfego*', and Venetian '*traffigo*' (OED, 2017). Each of these derivatives comes from a conjunction of the two Latin words *trans* and *ficare* which would translate to *transact* or to *engage in transactions*. By the late 16<sup>th</sup> century the term traffic was used frequently to mean "the transportation of merchandise for the purpose of trade" (OED, 2017, para. 1a). It was not until mid-18<sup>th</sup> century however, during the influx of African Slaves to New World colonies, that the term traffic developed a sinister connotation; meaning the "dealing or bargaining in something which should not be made the subject of trade" (OED, 2017, para. 2d) - in this case human slaves. In the 21<sup>st</sup> century to traffic or engage in trafficking is considered a crime. The term trafficking however is relatively new to local, state and federal law and policy despite the issues having been around for several hundred years. This means that agencies are continually uncovering new manifestations of the crime and therefore expanding the meaning of trafficking. It is accepted now that the term trafficking is a continually evolving and dynamic word used to fit an equally dynamic and ever-changing practice, however, its criminal connotation remains constant.

### 2.1.2. The Nature of the Crimes

Trafficking of illicit commodities is a dynamic phenomenon. The modern understanding of trafficking has plagued society for over 200 years and the practices involved continue to adapt, diversify and expand despite efforts to combat them (UNODC, 2018). This section looks at the four distinct areas of trafficking that make up the focus of this thesis and seeks to summarise the current understanding of their respective operations.

#### 2.1.2.1. Human

Trafficking in persons, or human trafficking has a large body of literature which assesses and describes the phenomenon. This is largely due to a common perception of human trafficking as not only unlawful but a significant breach of human rights. According to Southwell et al. (2018), it is estimated that 45.8 million people are involved across 167 countries in some form of modern slavery, generating multi-billion dollar profits for traffickers. There exists a great deal of variation in cases of human trafficking, with examples of large scale financially motivated human trafficking rings that operate on a global scale, as well as small scale local operations with as few as two people motivated primarily by desperation (Roe-Sepowitz et al., 2015). Unlike drug and weapons trafficking, human trafficking uniquely has multiple purposes for the exploitation of humans. These include but are not limited to, forced labour, sexual exploitation, organ trade, and various forms of modern slavery. Sex trafficking is perhaps the most high profile of these factors and as a result heavily dominates research on human trafficking (Chuang 2010; UNODC 2006; Weitzer, 2014). This high profile perception is explained by the high degree of media coverage of sex trafficking (Kaye, Winterdyk, & Quarterman, 2014) as well as film references in which women are depicted as being captured and sold into sex slavery (Besson & Morel, 2008). This creates a misconception of the degree to which forms of exploitation make up the total number of trafficked victims; for example assuming that human trafficking is only the trafficking of woman for the purpose of sexual exploitation. According to the *Global Report on Trafficking in Persons*, the number of men identified as victims of trafficking has increased from 13% to 21% in the past ten years (UNODC, 2016, p. 6). We also see a shift in the forms of exploitation identified among trafficking victims. In the 2010 *Trafficking in Persons* report, it was stated that more people are trafficked for forced labour than commercial sex. This is backed up by the UNODC (2016, p. 6) who stated that trafficking for sexual exploitation has decreased by 6% (making up 38% of trafficked victims) and trafficking for forced labour has increased by 7% (making up 54% of total trafficked victims). This suggests that the heavy research focus on sex trafficking may possibly be influencing the interpretation and understanding of the crimes as well as underrepresenting the broader form of the phenomenon. This further emphasises the point that trafficking and in a broader sense organised crime is greatly misunderstood and in need of further analysis (Aronowitz, Theuermann, & Tyurykanova, 2010).

Two findings became immediately apparent when reviewing the literature on human trafficking. Firstly, it is the result of various market factors that create an environment conducive to criminal behaviour. Secondly, there is more variation in the means of controlling victims than anticipated. In terms of environmental factors, it is argued that the exploitation of humans finds its roots in poverty (Kara, 2009; Ryan & Hall, 2001). Impoverished countries have a uniquely imbalanced environment where political, economic and social instability afford traffickers market conditions that are conducive to exploiting humans (Deane, 2010). The exploitation of children for instance is in high demand for both the sex and labour market as children are both cheap labour and much more vulnerable, therefore, easier to control (Deane, 2010; Rafferty, 2013; Southwell et al., 2018). These environmental factors may play a large part in understanding how trafficking business is conducted in developing regions of the world. With regard to a means of control, desperation, as present in many impoverished countries, increases the level of vulnerability by making people susceptible to financial or psychological control as opposed to threat or force alone (Rafferty, 2013). This makes exploitation somewhat easier than in developed countries as increased vulnerability assists in creating a means for controlling and exploiting people. It is therefore clear that certain environmental factors influence the trafficking of humans, which may also be the case in other forms of trafficking. Through an understanding of these factors and the demand that fuels human trafficking, it may be possible to highlight a point of strategic weakness and minimise or remove certain market conditions that facilitate human trafficking. If this destabilising of the environmental status quo can be achieved, then in turn a destabilising of human trafficking practices occurs as a matter of consequence.

#### 2.1.2.2. Drugs

In literature on drug trafficking, many scholarly articles focus on the criminal aspect of the practice; its origin, prevalence and associations with gang culture (Astorga & Shirk, 2010; Bagley, 2012; Black & Ricardo, 1994). The objective of these studies is to combat the crime by either reducing supply in origin countries, or more effectively prosecuting the groups that cultivate and distribute drugs, or addressing the demand for drugs in destination countries. It is also apparent that unlike human trafficking, the theme of research is not on the people who are affected or victims that suffer as a result of the practice. Drug trafficking studies have utilised a range of methods including meta-analysis, interviews with industry experts, case

studies, and ethnographic gang studies to assess those who commit the crimes as opposed to those effected by them (Astorga & Shirk, 2010; Bagley, 2012). These conclusions include an acknowledgement of Central America (primarily Columbia and Mexico) and Southern Asia as the primary origin countries (where cultivation of drugs is most prevalent). Central America and the Western Coast of Africa are noted as primary distributors and almost all first world countries as the destination for processed drugs (Astorga & Shirk, 2010; Cockayne & Williams, 2009; Desroches, 2007; U.S. Department of State, 2015). Other themes include the violent nature of drug trafficking among Central American drug cartels and their habits of territory war, political power struggles and guerrilla tactics; a theme shared with weapon trafficking organisations (Bagley, 2012; Black & Ricardo, 1994). Based on current literature, there is evidence suggesting that large hierarchical organisations are less prevalent in the human and wildlife trafficking industry (South & Wyatt, 2011). However, there is also evidence of large networks comprised of many small groups that cooperate with one another to traffic drugs, rather than through large scale cartel or mafia type organisations (Kenney, 2007). These groups suggest there may be a shift from large hierarchical organisations to smaller dynamic groups that coordinate and cooperate with one another for mutual benefit. There is therefore scope to assess these types of structures and determine the advantages or disadvantages of running a trafficking operation in both cases. It is possible that the shift is a result of successful law enforcement efforts that have identified areas of weakness or changes to the business environment that have possibly made alternate models more effective. Regardless, it is clear that further assessment of this literature could help to highlight areas of drug trafficking prone to weakness. It is also clear that research themes are predominantly from the law enforcement perspective and that research from a business perspective has only scratched the surface. Kenney (2007) and Natarajan (2000) carried out research on the networking practices and structure of the drug industry respectively and both acknowledged a gap in research that could be filled with research from a business perspective. This gives context for further exploration of this phenomenon through a management lens to expand our understanding of both drug traffickers and their practices.

#### 2.1.2.3. Weapons

The literature on weapons trafficking is similar in nature to drug trafficking in terms of research methods and areas of focus within the industry. Typically most research has focused

on addressing the groups responsible for the crime as well as the countries of origin and destination (Curtis & Karacan, 2002; Gildea & Pierce, 2007; Witarti, 2012). The U.S. Department of State (2017) has provided four new *Integrated Ballistics Identification Systems* (IBIS) to other countries to assist in the effective tracking of firearms used throughout the world. Based on this it can be inferred that a great deal of interest is placed on current awareness of where weapons are being used and who is using them. This interest likely stems from a growing need for governments to analyse the tactical movements of both their enemies and allies. For example, the greatest amount of weapons trafficking comes through areas of Africa, the Middle East and Russia on highways that cross the borders of many areas of conflict (Ristov, 2002; Stohl, 2005; Witarti, 2012). Many countries are involved in some form of internal or external conflict which helps to explain the importance of politically influenced themes and research on the topic of weapons trafficking (Curtis & Karacan, 2002; Gildea & Pierce, 2007). It is therefore imperative that this research be aware of potential country specific or geographic bias within literature on weapons trafficking. One important inference that can be drawn from research on weapons trafficking is that the primary interest in who is trafficking weapons to whom and the routes that these organisations utilise can be used to establish a potential drug trafficking value chain (Witarti, 2012). This offers promising potential for the application of management theory to weapons trafficking, in the same way drug trafficking literature does. This review found a relatively higher number of articles published on the business models, structure and networks of weapons trafficking organisations in comparison to the law enforcement or ethically centred research of other trafficking sub-categories (Gildea & Pierce, 2007; Ristov, 2002). This means there is greater scope for relating these themes to management theory and an opportunity to draw comparisons between this research and the research on other trafficking industries.

#### 2.1.2.4. Wildlife

Wildlife trafficking is referred to as being a low-cost high-profit industry in which groups or individuals often operate within legitimate hunting confines but exploit these confines for their own profit (Rosen & Smith, 2010). This means hunting may be legal in an area but people exploit this legality by hunting beyond permit limitations or rules imposed by governing bodies (Warchol, 2004; Wyler & Sheikh, 2013). Live animal capture gangs operate out of Russia, Eastern Europe and Africa who illegally kidnap animals and then utilise what is

referred to as "the paid corridor" (South & Wyatt, 2011, p. 550) to transport them to market. The paid corridor refers to the bribing of legitimate officials or border guards in order to hide illegal animal transport amongst legal animal transport. Unlike all of the other forms of trafficking, wildlife trafficking has had a somewhat lower representation in research from a legal viewpoint and a much higher focus on conservation efforts (South & Wyatt, 2011). This is largely due to the fact that trafficking consumers are often using the flora, fauna and their respective derivatives for private zoos or traditional medicine (South & Wyatt, 2011; Wilson-Wilde, 2010). While these have a negative impact on the wildlife population, they do not have the same negative societal impacts in comparison to the exploitation of humans, drug use or war. Most wildlife literature addresses the impact wildlife trafficking has on specific ecosystems (with particular focus on what sustains the wildlife trafficking industry) and the nature of the offenders (Ayling, 2013; Lavorgna, 2014; Rosen & Smith, 2010; Zimmerman, 2003). For this reason there are higher instances of research on where and how wildlife trafficking is occurring and what can be done to protect animal populations. While this is matter of legal concern, the fact that wildlife populations are at risk is of lower importance to some national governments as they regard the illicit trade of humans, drugs and weapons as more of a threat to their nation (South & Wyatt, 2011). Similar to human trafficking, a gap exists for knowledge on the market conditions that are conducive to the black market trading of animals and animal products. It must be acknowledged that some cases of wildlife trafficking and a number of other trafficking practices have solo operations which are harder to identify as part of an organisation (Warchol, 2004). However, these low-level offenders may be similar to those small-time independent drug dealers who operate as part of a much wider network. This suggests that wildlife trafficking may be a large industry comprised of many small groups that contribute to a network in order to successfully carry out their operations. This gives context to the application of management theory to wildlife trafficking in order to further understand these networks and their strategic benefit to the industry.

### 2.1.3. The Extent of the Crimes

The theory of 'six degrees of separation' is used to explain the network of intermediary connections that link all things on the planet and suggests we are all but six connecting steps from anyone through our network of personal acquaintances (Travers & Milgram, 1967). It is an unfortunate fact that we live in a world today where we exist an average of *two degrees*

*of separation* from slavery (Obuah, 2006). This means if you do not directly know someone with a connection to slavery, then someone you know does. While it was believed to have been abolished in the 20<sup>th</sup> century, slavery still flourishes underground to this day; it is simply subtler than it has been in recent history (Southwell et al., 2018). For instance, there are women around the world held in domestic servitude (Obuah, 2006), men controlled by debt bondage working as forced labourers (Stringer, Hughes, Whittaker, Haworth, & Simmons, 2016), and children forced into prostitution (Kara, 2009). To make the two degrees of separation clearer, the shoes on our feet, the sports apparel we wear, or the carpets in our home may have been made by slave workers in Pakistan or India (Kara, 2009). Similarly, the sugar in our kitchen or the toys that children play with may have been made by people working in slave-like conditions in factories from the Caribbean to South-East Asia (Obuah, 2006). This means while we cannot often see it at first, slavery still impacts almost everyone's lives in some way.

It is also suggested that there are only two degrees of separation between any individual and access to illicit drugs (Obuah, 2006). Therefore, on average, it only takes two connecting steps between people we know to reach the fringes of a global criminal network. Trafficking is a crime that exists far closer to home than many people may understand or acknowledge, particularly the majority of those living in first world countries where the impacts of the crimes may appear minimal at first glance. Whether a country of origin, transit or destination, almost every country in the world is affected by trafficking (UNODC, 2018). According to the UNODC, more than 500 human trafficking routes have been identified globally, with victims identified on those routes representing 137 different citizenships, and the forms of exploitation spanning forced labour, sexual exploitation, organ theft, forced begging and child militia (UNODC, 2006). Similarly, approximately 440 tonnes of heroin enters the global drug market every year (UNODC, 2010). Of these 440 tonnes, approximately 380 are cultivated from opium cultivated in Afghanistan, 50 tonnes comes from opium cultivated in Myanmar and Laos, and the remaining 10 tonnes is cultivated from opium cultivated in a variety of places across the world (UNODC, 2010). This means almost 98% of all the heroin in the world originates in as few as three countries, yet evidence suggests that only five tonnes is either used or seized in those countries (UNODC, 2010). More than 400 tonnes of heroin are therefore trafficked via routes and networks that span the globe. These same routes and



networks are utilised to trade and sell other illicit commodities such as weapons and wildlife, effectively exploiting gaps in the criminal justice system and evading the efforts of law enforcement, to generate a profit. According to the UNODC's *Illicit Financial Flows Resulting from Drug Trafficking and Other Transnational Organized Crimes Report* (2011), all criminal proceeds are likely to amount to some 3.6% of global GDP, equivalent to approximately USD \$2.1 trillion.

There is an acknowledgment in both academic and government literature that trafficking in general is insufficiently understood (Aronowitz et al., 2010; UNODC 2010). There is also an acknowledgment that trafficking is “inextricably linked to the global economy” (UNODC, 2010, p. 3) due to exploitation of private and public sector facilities intended for formal and legal trade. This suggests that trafficking is not an issue that can be dealt with within one nation, as globalisation has caused organised crime to flourish in a way that now requires a global commitment to further advance efforts of prevention, protection and prosecution.

#### 2.1.4. What is Not Trafficking?

It became apparent in analysing literature on all forms of trafficking that the line between trafficking and smuggling is blurred. There are some distinct conceptual differences between these two factors which must be made clear to delineate the scope of this research. For instance, a clear difference must be highlighted between *human trafficking* and *human smuggling*. Human Smuggling is defined as “the procurement, in order to obtain, directly or indirectly, a financial or other material benefit, of the illegal entry of a person into a State Party of which the person is not a national or a permanent resident” (UNODC, 2004, p. 54-55). The definition of smuggling suggests that people are transported without the use of force, fraud or coercion, and therefore are willing or voluntary participants. In most cases, the individuals who are being smuggled are in fact the paying customers, which is not the case of human trafficking. Human smuggling is therefore more specific to the context of illegal migration where individuals are willingly smuggled out of and into new countries for a plethora of purposes (Aronowitz, 2002). Conversely human trafficking requires a specific means of control as discussed previously such as force, fraud, or deception. This clearly

suggests that people who are willingly transported are not examples of trafficking but are in fact cases of human smuggling (Skilbrei & Tveit, 2008).

Another difference is that in the case of human smuggling, people are physically transported into a state party for the crime to be punishable. Trafficking in persons, however, can be punishable for any involvement in the activity and does not require the crossing of borders (U.S. Department of State, 2016). While not applicable to human trafficking, the term smuggling is still relevant to other forms of trafficking such as the trafficking of drugs or weapons as these commodities cannot be measured on their willingness to participate. It is also assumed that all cases of animal smuggling are forced, and therefore wildlife smuggling vs wildlife trafficking is not a necessary distinction to make. An awareness of these conceptual differences is important when analysing literature to aid in understanding the respective phenomena. Section 3.3.2.3 discusses the keywords used as part of this systematic review and further emphasises how this conceptual distinction is relevant to this thesis.

## 2.2. Combatting Trafficking – An Interdisciplinary Perspective

This section of analysis explores the understanding of current methods of intervention and programs seeking to combat trafficking in all of its forms. Key themes will be explored and used to draw conclusions about trafficking from academic, government and NGO sources as a means of establishing where agencies have focused their efforts in combatting the crimes. This information is used to broaden an understanding of trafficking in general, make inferences about knowledge gaps and to begin narrowing the scope of research for this study.

### 2.2.1. Humanitarian Perspective

The humanitarian perspective of trafficking is one primarily but not solely representative of human trafficking literature. This is because ultimately, human trafficking constitutes an extreme breach of ethics and fundamental human rights. The elements of human trafficking cases are highly diverse (U.S. States Department of State, 2017). Therefore victims should not be treated by assuming that their experience is in any way generic. This body of literature is therefore concerned with a diverse view of victims of trafficking, the cultural and socioeconomic circumstances that facilitate crimes, the rescue and rehabilitation of those who experienced human trafficking, the gaps in civil rights afforded to those who are

rescued from trafficking and the health concerns of victims and how to facilitate their recovery.

According to Gallagher (2001) only a minority of states around the world have adopted a means beyond provisional assistance to aid those who have been rescued from trafficking. One example of this is the United States' *T-Non-immigrant status*, as enacted by Congress as part of the *Victims of Trafficking and Violence Protection Act* (2000). The T-Non-immigrant status, also known as the T-Visa, offers a temporary immigration benefit for victims and their families who were trafficked to the US, allowing them up to four years of employment authorisation (United States Citizenship and Immigration Services [USCIS], 2018). Regrettably, this type of support is not afforded to all victims across the world. It is a fact that many victims of trafficking are involved from a very early age and become institutionalised (Gallagher, 2001; Hathaway, 2008). This means that their confinement to the trafficking industry has had an adverse effect on their ability to effectively re-join regular society, often resulting in voluntary re-entry to the operation, also known as re-trafficking (Zimmerman, Hossain, & Watts, 2011). Re-trafficking often occurs as a result of poor reintegration strategies and inadequate support for those who are rescued from trafficking, leading to a level of increased vulnerability conducive to re-entry (Zimmerman et al., 2011). This vulnerability is an important theme in literature from a humanitarian perspective as it begins to address the means of control traffickers have over their victims. Southwell et al. (2018) suggest that vulnerability, particularly in children, is conducive to a subtle form of psychological, financial or emotional control dissimilar to typical means of control such as force, threat and violence. These means of control present a new danger as they bring into question the shame felt by victims and the likelihood of a victim to admit to their own exploitation. Again, Southwell et al. (2018) present an assessment of this vulnerability with emphasis on children. The authors discuss how trafficking constitutes forms of physical, sexual, psychological and emotional abuse and how exploitation of one's emotions can create a means of control. The authors also discuss how child victims are easy to control and less likely to admit their victimisation. This means even in cases where law enforcement agents can reach these children, they rarely identify themselves as victims and in some cases have been coerced into learning a fake story to retell to protect those who control them (Southwell et al., 2018). Finally, there is also evidence of cases where victims of trafficking who were transported illegally against their will

into another country, are being prosecuted for illegal migration and forced to leave (Hathaway, 2008). For victims of a crime against humanity to be prosecuted is an injustice and exemplifies why research from a human rights perspective is so prevalent in human trafficking literature.

An understanding of humanitarian based literature emphasises the weaknesses in the legal system for rescuing, supporting and reintegrating victims back into society. Whilst this area of research is exceptionally important, it does not aid in preventing the crimes from happening in the first place. However, this information can be used to inform legislative changes and improve efforts to combat the crime as well as inform the scope of this research.

### 2.2.2. Law and Policy Perspective

Law and Policy is generally discussed primarily in government documents, national legislation and conference papers. This body of literature is often part of what is termed 'grey literature', that is, literature produced by agencies, where publishing is not the primary activity of the producing body; unlike academic articles which are subjected to peer review and published in academic journals. The debate of including grey literature in academic writing is still fiercely contested and is addressed in section 3.2.3. For the purpose of this chapter, law and policy literature was included as it represents one of the primary ways in which nations seek to combat trafficking crimes. In their book *Human Trafficking and Modern Slavery Law and Practice*, Southwell, Brewer and Douglas-Jones (2018) shed light on the law and issues relevant to various practitioners' perspectives regarding their practices surrounding human trafficking.

Law and policy from all countries must be continually adapted and redefined to fit the personal experiences of various trafficking activity in their respective nations (Southwell et al., 2018). Anti-trafficking policies usually fit either a prosecution, protection or prevention dimension as defined by the *United Nations Trafficking Protocol* (2000). This protocol informs the legal obligation of member states to enforce anti-trafficking strategies. Prevention policy is largely related to border control, immigration and public awareness strategies, whereas prosecution and protection policies are focused more on actual changes of criminal legislation (Chuang, 2010). The United Nations seeks to enforce compliance of this protocol across all member countries but are met with various barriers caused by different political interests,

costs of compliance and adverse reactions due to compliance pressures (Cho & Vadlamannati, 2012). One of the primary concerns which is a clear theme within law and policy literature is the impact corruption has with compliance of anti-trafficking law. Olken and Pande (2012) suggest that while it is extremely difficult to measure the magnitude of corruption in countries, there is evidence that corruption is more prevalent in developing countries. An unfortunate loop begins to form here as a great deal of crime finds its roots in poverty (Kara, 2009; Ryan & Hall, 2001). According to the United Nations Office of Drugs and Crime's *World Wildlife Crime Report* (2016), it is imperative that countries are able to enforce and monitor the performance and effectiveness of their legislation changes with regard to changes to criminal practices. This is exceptionally difficult to undertake for developing countries, largely due to their limited resource capacity. Many developing countries act as origin countries for the cultivation of drugs, poaching of wildlife, and supply for modern slaves. From the perspective of these developing countries, the damage is caused by these activities regardless of whether these commodities are then trafficked across borders and overseas (UNODC, 2016). This means that what resources developing countries can allocate to legislation changes, is directed to areas of interest to the country such as conservation; as opposed to restricting outgoing commodities that negatively affect third parties. This loop is caused primarily by the fact that agencies in origin, transit and destination countries will only enforce anti-trafficking law and policy if they have the tools and resources to do so (UNODC, 2016). This again suggests that there are limitations to this form of intervention of trafficking practices when used independently. Similar to the humanitarian perspective, the law and policy perspective is an extremely important area of research but is insufficient on its own to successfully combat trafficking. This justifies a needed expansion of the breadth of research on trafficking and analysing the phenomenon from this underdeveloped perspective.

### 2.2.3. Law Enforcement Perspective

Due to their adaptability and dynamic nature, trafficking organisations globally, continue to evade the efforts of law enforcement agencies. Many large-scale criminal networks are comprised of countless small scale organisations that operate simultaneously and independently, which demands equally adaptive countermeasures (Adamoli et al., 1998). Countering trafficking requires efforts beyond traditional policing, and for this reason, there

exists a substantial body of literature exploring new methods and assessing the effectiveness of efforts to combat trafficking by prosecuting the criminals responsible.

Adamoli et al. (1998) discuss various trends in law enforcement efforts across different countries. The authors bring into light the effectiveness of specifically tailored investigative units to combat trafficking and suggest that while these are effective, many countries lack the resource capacity required to implement such units. Examples of this were described in the previous section in relation to developing countries and their limited capacity to address crime. Adamoli et al. (1998) discuss how a combination of electronic monitoring, undercover agents, and intelligence gathering is required to identify, monitor and then prosecute trafficking organisations. Undercover agents are one of the primary action-based tactics used for identifying and gathering evidence on traffickers for prosecution (Adamoli et al., 1998). These agents operate under a variety of different guises, including academic researchers (Natarajan, 2000), NGO workers seeking to prosecute offenders and rescue victims (Tidball, Zheng, & Creswell, 2016) and law enforcement agents who work to investigate the crime and penetrate deeply into organisations for a multitude of purposes (Moore, 1990; Webster, Bulzacchelli, Zeoli, & Vernick, 2006). Adamoli et al. (1998) also highlight the serious risks these individuals take, often having to delve deeply into global criminal networks. In a study seeking to address the effectiveness of undercover 'sting' operations on weapons traffickers in the United States, Webster et al. (2006) were able to conclude a 46% reduction in flow of illegal firearms in one of the three test cities. This could suggest that the risk of being caught was a significant deterrent on the actions of weapons traffickers. However, the other two test cities in Webster et al. (2016) experienced either a minor reduction over time or no immediate change to the flow of weapons. This does not provide conclusive empirical evidence for the effectiveness of undercover law enforcement work alone, for deterring weapons trafficking.

Another primary theme in all law enforcement literature is border security. That is the choice of States, to impose restrictions on entry conditions to their respective territories which applies to both goods and people (Andreas, 2003; Campbell, 2005). Border security in high profile territories such as the United States and Mexico border is largely concerned with illegal immigration of people and the transport of illicit goods such as drugs and weapons into the US. Methods of border policing collectively include visa restrictions, surveillance technology, physical barriers, forgery resistant travel documentation, and military personnel

(Andreas, 2003; United Nations, 2000). These efforts have increased in past years due to a combination of terrorist activity, increased migrant rates and high levels of illicit commodities still making their way into countries via both land and sea borders (Andreas, 2003; Brolan, 2002). Of primary concern to many developed countries is the illegal entry of individuals with intentions of terrorism at their point of destination (UNODC, 2010). This has led to heavy investment and allocation of resources to developing means such as biometric iris scanning security to monitor those entering the country (Andreas, 2003). However, Brolan (2002) highlighted the need for the international community to re-examine how best to invest border control resources. There are cases of genuine asylum seekers who require aid being denied help due to stricter border policing and legislative changes occurring as a result of terrorist activity (Rosenblum & Salehyan, 2004). Brolan (2002) goes on to suggest that efforts need to be directed towards reducing the afflictions that compel people to leave their countries or are conducive to terrorist activity such as war and poverty. It is suggested that doing so could reduce the demand for tighter border security and ultimately reduce the need for law enforcement resources to be directed towards illegal immigration, terrorism and the trafficking of illicit commodities.

### 2.3. What are the limits of trafficking literature?

Throughout the previous sections, there has been a discussion on the nature and extent of trafficking as well as the assessment of themes in literature seeking to combat trafficking. There have been a number of significant themes discussed, which highlight areas that have been underrepresented in trafficking literature or not researched at all. The following sections address some of the aforementioned gaps in literature, and provide a foundation for motivating and justifying this thesis.

Through an analysis of trafficking literature, three key gaps have been identified. Firstly, the author of this thesis became acutely aware of some discrepancies within academic writing; particularly relating to the understanding of important concepts and the means of defining them. For instance, the three components that define human trafficking; the act, means and purpose, are consistently described in national legislation or government documents (Southwell et al., 2018; UNODC, 2018; U.S Department of State, 2017). However, an understanding of these three defining criteria is by no means as well understood within

academic journals based on the rate of inclusion. Arguably, academic writing does not need to be as thorough as legal documents in defining their subject matter as they are not being used to convict criminals or identify victims. This could mean there is a perfectly legitimate reason scholars have chosen to exclude these defining criteria and adopt a shorter, more user-friendly definition. Conversely, it can be argued that scholarship, which seeks to shed light on the processes, practices or theory involved in trafficking should present an accurate understanding of the conceptual differences and definitional criteria of their subject matter. This was not the case, however, with many academic articles choosing to cite other academics whose definitions were commonly subjected to various disciplinary nuances and hence less clear about what constituted the defined practice. In some cases, scholars opted to adopt their own definition. This will be discussed further as a recommendation for future research in section 5.5

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The second area of focus is the underrepresentation of law and policy input within academic scholarship. The law and policy perspective is the predominant critical lens in government publications such as conference proceedings and government reports (Ahmad, Ali, & Lilienthal, 2017; Curtis & Karacan, 2002; Greiman & Bain, 2013; UNODC, 2016; 2011; 2010; 2006). This underrepresentation was just the surface of a much greater problem. This problem alludes to the lack of integration or acknowledgment of other perspectives within writing from a specific critical lens. It is the intention of the author of this thesis, to assert that there were three identifiable lenses with which to view trafficking and yet very little integration of the concepts from one lens to another. Various research disciplines tend to stay within their respective confines rather than explore the overlap, inconsistencies or similarities between different disciplines. At the end of each section regarding humanitarian, law and policy, and law enforcement perspectives, it was clear that each perspective offered vital contributions, but was insufficient on its own to eliminate the problems associated with trafficking entirely. This goes some way to suggesting what needs to be done to combat trafficking more effectively. Interdisciplinary cooperation is not apparent in trafficking literature, but there is evidence to suggest it can be beneficial to helping combat the practices of trafficking organisations.

The final key area of research that appears to be underrepresented in trafficking literature is management or business scholarship. It is this gap that sets the foundation for



this thesis. Like all organised crime, ultimately, trafficking is a business (Gaines & Kremling, 2013; Shelley & Bain, 2015; Shen, Antonopoulos, & Papanicolaou, 2013). However, research on trafficking from a business perspective is minimal. Trafficking is heavily researched through the critical lenses of humanitarianism, law and policy, and law enforcement. It is not surprising that these perspectives are heavily represented as they are critical areas of research and primarily concerned with the prosecution of criminals and the protection of victims. While this research is vital, it also indicates a need to research outside these parameters in order to further advance our understanding of the phenomenon and broach new ways with which to combat the practices. Adding management as a critical lens could afford a means with which to identify strategic weaknesses or vulnerabilities in the business practices of trafficking operations. There are multiple research recommendations in literature suggesting that an application of business theory and organisational models is necessary to achieving a greater impact in combatting trafficking practices (Aronowitz, 2001; Darbi, Hall, & Knott, 2016; U.S. Department of State, 2015). Aronowitz et al. (2010, p. 12) suggested that focusing “on the business side of trafficking and the markets which support its existence with a view to achieve a more long-term impact is essential”. Other research continues to suggest that more lasting results for eliminating these crimes require examining trafficking as an organisational process and, defining this using business theory as well as addressing the market features that encourage trafficking (Aronowitz & Koning, 2014; U.S. Department of State, 2016). Finally, Kara (2009, p. 3) stated that a “...systematic business and economic analysis of the industries, conducted to identify strategic points of intervention, has not yet been undertaken.” These recommendations provide a strong justification regarding the necessity of such research and sets a strong foundation for this thesis.

### 2.3.1. The Informal Sector

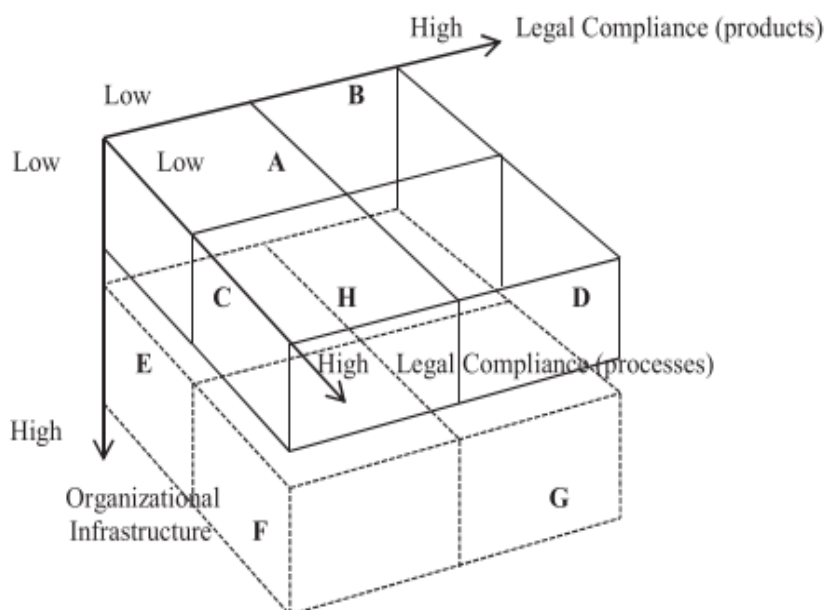
This section seeks to examine the informal sector and analyse the application of business theory to informal sector businesses due to its conceptual links and organisational similarities with criminal organisations. To begin critically assessing how management theory is applied to the context of trafficking, an analysis of business theory application to organisations in the informal sector will be performed. Research into the defining characteristics of the informal sector have been carried out from numerous academic perspectives with a relatively recent focus on management and organisational theory (Darbi

et al., 2016). The literature on the informal sector can therefore be used as a point of reference to research criminal organisations as it creates a transitional link and source of comparison between formal and criminal business. There are numerous negative connotations associated with the informal sector, namely the implications of social exploitation, non-compliance and illegality (Darbi et al., 2016). Despite these negative connotations, there is a wide acceptance within scholarly literature that the informal economy constitutes a growing academic contribution to the formal economy (Darbi et al., 2016; Darbi & Knott, 2016; Siqueira, Webb & Bruton, 2014; Webb, Ireland, & Ketchen, 2014).

#### 2.3.1.1. What is an “Informal” Business?

The informal sector is a grey area in the global market in which members participate in business practices without subsection to any form of monitoring from the government, or obeying labour and employment law (Bruton, Ireland, & Ketchen, 2012; Darbi et al., 2016). Informal sector businesses range from small-time, self-employed individuals who simply don't register their income for tax, through to groups who border on being an outright criminal business (Darbi et al., 2016). The clearest distinction that can be made between formal, informal and criminal business is that of the legality of their respective products and processes. Darbi et al. (2016) present a conceptual model, displayed in Figure 1, which is used to identify an organisations position on a ‘formal-informal-criminal’ scale.

*A Conceptual Model of Business (In)Formality*



*Figure 1: Darbi, Hall, and Knott's (2016, p. 310) Model of Business (In)Formality*

This model suggests that companies who are low on the scale of legal compliance regarding the products they sell (A, C, E and F) are criminal, irrespective of the illegality of the processes they employ. The authors go on to suggest that an organisation who is high on the scale for legal compliance in products but low on their level of legal compliance towards processes (B and H) are informal. The informal region of the model depicts an area that has been subjected to less research than traditional, formal businesses but substantially more than criminal businesses in terms of their respective management theory and organisational practices. The literature on the informal sector can therefore be used as a point of reference to research criminal organisations because it creates a transitional link and source of comparison between formal and criminal business.

#### 2.3.1.2. The Informal Sector as a Transitional Link to Criminal Business

Webb et al. (2014) suggest that the informal sector constitutes a number of entrepreneurs that fill a void left by unequal rights and regulations within the formal sector. They refer to an institutional environment that prohibits members of a population from effectively participating in the formal sector. Naturally, this causes the void that they say characterises the economies of developing countries and also facilitates the growth of criminal activity. Management literature on the informal economy focuses primarily on developing countries and acknowledges the difficulty of attributing organisational theory to these companies (Adom & Williams, 2012; Darbi et al., 2016; Webb et al., 2014). It is perhaps the most common theme among literature on this topic to conclude that strategic networks are the most frequently utilised strategic practice within the industry. Darbi et al. (2016) emphasise how critical strategic networks are to businesses operating in the informal economy because these networks allow informal organisations to heighten resource flows and gain economies of scale over their competitors. Bruton et al. (2012) suggest that because informal firms do not legally exist, financial lending or trade deals are highly informal and legally non-binding; this is what facilitates a need for trust. Evidence suggests that these networks are commonly made up of friends and family which some research suggests is similar to the networks of criminal organisations (Anderson, Jack, & Dodd, 2005; Henry & Sills, 2006). Due to circumstantial similarities between informal companies and criminal organisations, there is an opportunity to expand the depth of research on the application of network theory to criminal organisations. It is apparent that these networks could be like the

networks utilised by those who operate in criminal organisation so research in this area could expand knowledge in the field of management and trafficking. Informal personal connections are the primary strategic practice utilised within the informal sector which is a key theme throughout literature on these activities. These concepts have yet to be applied to the specific context of trafficking and therefore there is a need for further research on this topic.

## 2.4. Management Theory and its Application

To further position this research in the field of management, an assessment of management scholarship was carried out to determine whether its application could be broadened and applied to a criminal business and a trafficking context. This is to examine how our understanding of trafficking could potentially be strengthened through an application of management theory; as well as offer theoretical advances by expanding the application of management theory beyond its typical setting.

### 2.4.1. Management Theory

A brief assessment of five key areas of management theory was carried out to determine their potential for application to a trafficking context. These areas are common in the field of management and likely to involve theory that helps to explain the activities involved in the trafficking of illicit commodities.

#### 2.4.1.1. Operation and Supply Chain Management

Operation and supply chain management is an area of management concerned with the flow of information and products through a business, and the relationships between suppliers and customers (Christopher, 2016). It is recognised that a focus on this area can help to achieve greater profit outcomes for suppliers and greater value outcomes for customers (Christopher, 2016; Cox, 1999; Horvath, 2001). The theories involved in operation and supply chain management such as product or service development, forecasting, demand management, strategic networking, quality control and project management may hold valuable contributions that help to understand the means by which trafficking organisations operate. This may involve highlighting connections and relationships within operational networks that connect suppliers to customers and vice versa. Brown and Butler (1995) argue that these networks can be used to overcome the disadvantages typically associated with

being a small organisation and turn the networks into a source of competitive advantage against larger firms. More specifically, Brown and Butler (1995) suggest that the sharing of financial and strategic capabilities or resources between small firms can be used to create enough market presence to compete effectively against larger competitors. This theory has been applied and tested in the context of formal organisations as well as in the informal sector (Darbi & Knott, 2016), but there is minimal application of operation and supply chain management theory within the context of criminal organisations. There is evidence suggesting that trafficking organisations operate in small groups as part of a larger network (Kenney, 2007) and that they strive to compete against the efforts of law enforcement agencies trying to prevent their flow of products or services from reaching customers (Gottschalk, 2010). There is therefore scope to apply the concepts and theories of operations and supply chain management to trafficking practices to determine whether this theory can add valuable contributions to understanding the operational practices of traffickers.

#### 2.4.1.2. Strategic Management

Strategic management is somewhat less tangible but remains an important area of management research with regard to trafficking organisations. Strategic management focuses on how firms achieve and sustain their respective competitive advantages (Teece, Pisano, & Shuen, 1997). Different organisations have different capabilities or competencies and adopt new strategies as a means of ensuring they remain competitive in the unpredictable and hostile business environment in which they operate (Covin & Slevin, 1989; Gottschalk, 2010; Gottschalk & Dean 2009). This would suggest that trafficking organisations employ some form of strategy or have the organisational capacity to remain competitive under these conditions. Adaptability, innovation, strategic alliances and strategic networks are all examples of strategic theory that may be used to explain the methods with which criminals overcome these circumstances. Similarly, a relatively new theme in strategic management research is coopetition. This term is used to describe the simultaneous cooperation and competition with competitors (Dagnino, 2009). Coopetition allows businesses to reach global markets and achieve economies of scale by combining intellectual, informational, financial, and resource capital in order to compete against larger competitors (Etemad, Wright, and Dana, 2001; De Wit & Meyer, 2010). There is limited information available on this topic, however, Brown and Butler (1995) and De Wit and Meyer (2010)

suggest that these relationships constitute a powerful way of allowing entry-level firms to compete against large-scale competitors by sharing resources. This theory may help to explain how small entry level criminal groups contribute value to the global trafficking network. There may be examples of resource sharing and coopetition that allows small criminal groups to enter the market and contribute to vast supply of illicit commodities around the world. Analysing how criminal organisations cooperate with one another to generate income could provide valuable insights and expand the related body of knowledge on trafficking behaviour (Faldetta & Provenzano, 2016). This adds further value to the potential for management theory to highlight new ways of understanding trafficking practices.

#### 2.4.1.3. Communication Management

Communication management theory is primarily interested in inter-group and intra-group communication as well as the behavioural, financial and social aspects of the communication that occurs within and between organisations (Grunig & Dozier, 2003). The primary view of communication management that may be relevant to trafficking practices are that of communication networks. This is primarily concerned with the structure of, and means with which information flows through an organisation (Bolton & Dewatripont, 1994). Within the broader body of trafficking literature, it was apparent that trafficking groups often trade and communicate with other groups across regional or international borders (Kenney, 2007). There is some supporting evidence within scholarly literature which suggests that trafficking organisations operate as part of a non-hierarchical chain whereby specialist groups cooperate with one another to carry out various activities within the value creation process (Adamoli et al., 1998; Faldetta & Provenzano, 2016; Salt & Stein, 1997). An example of this in the context of human trafficking would be a specialist recruitment agency that identifies and captures prospective victims. This agency will then communicate and cooperate with either national or pan-national groups that specialise in the transport and distribution of victims. This group will in turn communicate and cooperate with groups that run brothels or labour service agencies to distribute products to customers. This type of linear network structure can also have operation and supply chain management theory applied to it, to explain the means through which products reach customers. While each gang operates independently there is evidence to suggest that these groups communicate with one another to cooperate as opposed to running one large organisation that performs every stage of the process and

competes against similar organisations (Adamoli et al., 1998). These communication dynamics, relationships and networks are of extreme relevance to communication management theory and an application of this theory may provide further insight to the way traffickers share information and manage such a wide global network of crime.

#### 2.4.1.4. Innovation Management and Entrepreneurship

This section is concerned with entrepreneurial theory and the actions, actors, and environmental influences that relate to entrepreneurial opportunities. Among these concepts and theories is literature concerned with entrepreneurial motivation. The primary theme of this literature is how motives impact the decision to pursue or continue entrepreneurial activities. In a study of printing companies in Ghana, Darbi and Knott (2016) found that cultural capital was one of the greatest motivators for entrepreneurs in the informal sector. Cultural capital is a term used to describe what participants referred to as a level of reverence that came from building trust, reciprocity and social obligation. Reverence, is also referred to as an individual or organisation's ability to adhere to certain cultural norms of a particular social class with links to communities and ethnic groups (Bourdieu, 1986). This meant that a large portion of motivation for operating in the informal sector as opposed to the formal sector was to do with personal identity and social class. This is somewhat different to what people consider motivators for formal entrepreneur's i.e. financial independence and self-fulfilment (Block & Landgraf, 2016). However, in their study of informal sector entrepreneurs, Adom and Williams (2012) found that the majority of individuals were motivated by a drive to achieve freedom and self-fulfilment (much like a formal entrepreneur). This suggests there may be some discrepancies in understanding the motives of entrepreneurship in these circumstances. It would be therefore be beneficial to explore whether individuals who operate in criminal organisations, operate with similar or varied motives, to assess their drive for being in the criminal industry. Being able to identify this would further contribute to assessing the nature of the crime and finding new ways of fighting it. A knowledge gap can clearly be identified from this body of literature, leading to a need to determine what drives individuals and organisations in terms of criminalised entrepreneurship. This question therefore provides grounds for further research.

#### 2.4.1.5. Organisational Behaviour

Organisational behaviour [OB] theory is primarily concerned with the understanding of the personality, dynamic and characteristics of individuals and groups within an organisational context (Cole, 2000). This relates to aspects of leadership and team management theory (Cole, 2000). In a study carried out by Natarajan (2000), intensive wire-tapping surveillance was combined with conversation analysis and coding to determine the group structure of a narcotics and weapons trafficking gang operating out of Columbia. This study concluded that this group operated within a clear division of labour and identifiable power hierarchy. This suggests that some trafficking organisations may adhere to what OB theory understands as a formal organisational structure. Faldetta and Provenzano (2016) drew similar conclusions to this stating that contrary to belief; “most trafficking organisations operate with a hierarchical structure” (Faldetta & Provenzano, 2016, p. 48). This type of structure is common in large scale drug and weapon trafficking organisations as both inter and intra-organisational conflict is far more violent and competitive compared to smaller less structured groups (Bagley, 2012). This gives context to requiring a more strict and hierarchical power dynamic to maintain control of the organisation. A limitation to these conclusions is the fact that both studies primarily address large scale ‘mafia-like’ organisations that carry out multiple forms of trafficking. While relevant, these organisations may not be representative of smaller trafficking groups. It is possible that there are minor hierarchies or power dynamics within small independent gangs, but the majority operate with fewer than six or seven individuals, and therefore inferences cannot be made without further evidence. An application of OB theory could help to explain the presence of or lack of leadership or power dynamics within the networks of small groups. As this study includes trafficking organisations of multiple sizes, different countries of origin and responsibility for varying stages of the trafficking process there is a strong need to understand the internal dynamic of these groups to determine how differently they manage their operation. OB theory may explain the leadership processes, power dynamics and hierarchical structures of these organisations whilst highlighting characteristic elements of the groups and the individuals involved. OB theory may therefore add great value to our understanding of trafficking on an industry, group and individual level. This provides context to applying OB theory to trafficking organisations to further expand understanding of the trafficking phenomenon.



## 2.5. Conclusion

This chapter provided a foundation on which to position this research in the field of management, as well as provide insight into the key themes within trafficking literature. An analysis of the nature and extent of trafficking crimes both describes the severity of the problem as well as set the context for this research. This discussion was followed by an investigation into which areas of trafficking have been most heavily researched. It was revealed that trafficking literature is predominantly written from a legal, law enforcement or humanitarian perspective. These perspectives are primarily concerned with the cultural, political and economic settings that facilitate the crimes, the prosecution of criminals and the impact on victims (Aronowitz, 2001; Aronowitz et al., 2010; Kangaspunta, 2015; Little, 1991; U.S. States Department of State, 2016). This finding helped to inform the scope of this research by identifying that while organised crime is a pervasive business, research on the business of trafficking is significantly underrepresented in trafficking literature. While legal, law enforcement and humanitarian research is extremely important, research from a business perspective will help to bring new knowledge to the forefront of trafficking scholarship. A discussion of the informal sector was used as a means of positioning this research firmly in the field of management and served as a source of comparison between formal, informal and criminal business. Finally, a detailed analysis of current management theory research and its breadth of application was performed. This assessment found that management theory has been applied primarily to the formal business sector, marginally to informal sector organisations and very little to criminal business. While this finding was unsurprising, it is evident that expanding the application of management theory to broader contexts may contribute to informing new understanding of management and business theory. This chapter, therefore, identified a gap in research in the form of applying management theory to the context of trafficking organisations which serves as an effort to assist in combatting the crimes and as well as expand the application of management theory. This review also revealed several research recommendations, suggesting that a focus on the markets that drive trafficking is critical to preventing the crimes and that an application of business theory and organisational models is necessary to achieving a more long-term impact in combatting trafficking practices (Aronowitz, 2001; Aronowitz et al., 2010; Darbi et al., 2016; U.S. Department of State, 2015, 2016). Based on themes within the body of trafficking literature

it can be concluded that the phenomenon of trafficking is worthy of further analysis from a business perspective. The following section will outline the method used to undertake this research, as well as discuss the way various factors were used to inform the scope of this thesis and test research objectives.

### 3. Methodology

Systematic literature reviews are used throughout a broad range of academic fields, including science, medicine and business, as a means to synthesise research findings using a transparent and explicit method to produce conclusions without bias (Moher, Liberati, Tetzlaff, Altman, & PRISMA-P Group, 2015). Due to their comprehensive methodologies, systematic reviews have been used in the field of medicine to inform rules and guidelines for clinical practice (Bambra, 2011; Tranfield, Denyer, & Smart, 2003). The guiding framework for these reviews has been established by the Cochrane Collaboration, which has now been adopted and used to inform review protocols in the fields of commerce and more specifically, management (Adams, Smart, & Huff, 2016). Each review is based on a set of pre-defined criteria, used to assess the eligibility of research and conducted using a pre-defined protocol that is designed to draw significant conclusions from a range of studies (Tranfield et al., 2003).

#### 3.1. Rationale

This method was selected as there is identification of a need for research on trafficking within the management field based on research recommendations from fields encompassing this topic (Aronowitz, 2001; Aronowitz, Theuermann, & Tyurykanova, 2010; Darbi et al., 2016). It has been established that trafficking of any nature is a global issue with highly adverse effects, therefore, further research is required to assist in combatting the practices. A thorough examination of relevant literature illustrated the fact that this research method has not been used before within this context and was deemed most suitable for a researcher with no practical experience gathering first hand evidence on trafficking practices. Finally, this method was chosen as it provides a strong base for future research and because conducting primary research on criminal organisations is beyond the reasonable confines of a Master's thesis.

#### 3.2. Development of Review Protocol

The effectiveness of systematic reviews lie in their rigorous and strict protocol which allows for statistically reliable conclusions. The following sections discuss the process the author went through to develop and refine the protocol for this thesis. The PRISMA-P framework was used to guide this development and is discussed in section 3.3.2.1.

### 3.2.1. Thematic Review

A thematic review of literature is often used as a means to explore similarities and inconsistencies of the themes within relevant literature, in order to become familiar with a given subject (Campbell et al., 2014). For this reason, a thematic review of literature was carried out as a scoping study. This study assisted in informing the scope and relative size of the research field and encompassing sub-fields as well as guide key vocabularies, theories, methods and outcomes of this project (Tranfield et al., 2003). This knowledge was used to assist in the development of the review protocol and as a means of deciding relevant search terms and appropriate databases to apply these terms to.

### 3.2.2. Expert Panel

Utilisation of a review panel is standard practice for systematic reviews (Bambra, 2011; Pittaway, Robertson, Munir, Denyer, & Neely, 2004). Review panels are often employed across academic fields in order to help guide the review process and assist in defining the scope of the research, research parameters and the framework used to appraise data (Pittaway & Cope, 2007). These panels should be made up of both theory and method experts who are working in or have worked in fields relevant to the research topic (Tranfield et al., 2003).

In conjunction with the supervisory team and a number of personal networks established from prior work in these fields, a panel of five experts were identified as relevant business and policy experts. Representing a broad spectrum of backgrounds regarding the four forms of trafficking. This included academic researchers, human rights and policy experts as well as individuals with first-hand experience in combatting these crimes. Due to the nature of their work, the majority of panel members opted to remain anonymous. All individuals were asked to participate in the development of the review protocol in a strictly advisory capacity.

Meetings and consultations were arranged with advisors and they were asked to provide feedback regarding the scope of the project, the primary research questions, and the definition of search parameters for the framework used to critically appraise the data. Questions were provided to advisors via email in advance of meeting to discuss the questions.

In cases where participants were not accessible for meetings, email correspondence or teleconferences were conducted.

Examples of questions are outlined below:

“Do you believe the search parameters sufficiently encompass the scope of this research? How can they be improved?”

“Does the scope of this research provide an accurate representation of the industry? Can it be improved?”

“Is this method of analysis sufficient to answer the key research questions? How can this be improved?”

### 3.2.3. Incorporation of Grey Literature

Systematic reviews by nature, utilise rule-based search methods in order to uncover a body of relevant scholarly literature upon which there is a firm base to synthesise and draw conclusions from (Adams et al., 2016). It quickly became apparent during the thematic review scoping study that the inclusion of material outside traditional databases was necessary to incorporate. Due to the inherently dangerous nature of researching trafficking and its sub-fields first-hand, studies are often carried out by non-academic agencies and therefore not published in peer-reviewed journals. These articles are referred to as ‘grey literature’ which are defined by Schöpfel (2010, p. 2) as;

*“Grey literature stands for manifold document types produced on all levels of government, academics, business and industry in print and electronic formats that are protected by intellectual property rights, of sufficient quality to be collected and preserved by library holdings or institutional repositories, but not controlled by commercial publishers i.e., where publishing is not the primary activity of the producing body.”*

Regardless of its publication status, there is fair argument to accept grey literature as high-quality work. In many cases this literature is produced for research related purposes but under circumstances where the author is under no pressure to publish in academic journals (Adams et al., 2016). There are also suggestions that the incorporation of grey literature can

help to minimise publication bias (Paez, 2017). This bias refers to the likelihood of studies that report positive results being published as opposed to studies that report either negative or insignificant results. For this reason, it is suggested that the inclusion of grey literature helps to provide a balanced view of evidence (Paez, 2017).

Grey literature is often not accessible in academic databases despite the growing acceptance of its relevance to academia (Schöpfel, 2010). In many cases the reason for exclusion of grey literature is because it is not accessible through traditional research repositories as well as the fact that grey literature is comprised of knowledge and findings that have not been subjected to a traditional peer-review process (Adams et al., 2016). For this reason, this research developed study-specific quality appraisal methods and search procedures in conjunction with the supervisory team and review panel, to ensure valid and reliable contributions from 'grey' sources.

### 3.3. Conducting the Review

Scholars are in agreement as to the specific characteristics a systematic review must include (Moher et al., 2015; NNR5 Working Group, 2011; Wilson et al., 2014). Due to this, the following are a list of characteristics that have been adopted as the guiding principles of this research.

1. The use of processes designed to provide transparency and minimise bias throughout the duration of the study in order to ensure reliable findings and conclusions.
2. A clear and explicit objective that can be met using pre-defined criteria and a reproducible methodology.
3. A systematically carried out search that is designed to recognise all studies in the relevant field that meet eligibility criteria.
4. Evaluation of the validity of research findings in the studies that meet inclusion criteria.
5. A systematic presentation of results through a synthesis of the themes and findings of studies that meet inclusion criteria.

### 3.3.1. Research Objectives

The goal of this research is to appraise and synthesize evidence identified via systematic review in order to assess the extent to which business and management theory has been, and could further be applied to the context of illegal business activities. This is undertaken for the purpose of better understanding and combatting trafficking practices as well as expanding the application of business and management theory. To meet this objective, critical identification and assessment of evidence was carried out to explain how trafficking organisations operate using management theory. Through an appraisal of this evidence the aim of this review is to answer three key research questions;

1. In what ways do core management theories, concepts and frameworks help to explain the business activities and managerial behaviour utilised by trafficking organisations?
2. How do various article characteristics such as authorship, publishing year or journal outlets describe the body of trafficking literature?
3. How can the understanding established from objectives one and two highlight areas conducive to combatting trafficking crimes?

### 3.3.2. Search Framework and Strategy

#### 3.3.2.1. Framework – PRISMA-P

Well reported systematic reviews are important across all fields of academia as they help to create a reliable and comprehensible synthesis of current knowledge within a given field (Denyer & Neely, 2004). However the quality of reporting systematic reviews has been questioned in past which led to the development of the *Preferred Reporting Items for Systematic Reviews and Meta-Analyses* (PRISMA) guideline (Moher, Liberati, Tetzlaff, Altman, & Prisma Group, 2009). This was further developed to the PRISMA-P guidelines by Moher et al. (2015, p. 2) which they define as “a guideline to help authors prepare *protocols* for planned systematic reviews”. The PRISMA-P framework was built off the foundation of the PRISMA framework with 17 numbered items used as a checklist to ensure authors build and then work from a protocol that allows them to effectively conduct a review (Moher et al., 2015a). For

this research the PRISMA-P reporting checklist (Table 2) was used to develop the protocol in conjunction with the PRISMA-P Explanation and Elaboration document (Moher et al., 2015b). This checklist was used as the guiding framework for conducting the review and reporting the findings.

#### *PRISMA-P Checklist*

Section/Topic	No.	Checklist Item
<b>ADMINISTRATIVE INFORMATION</b>		
<b>Title</b>		
<b>Identification</b>	1a	Identify the report as a protocol of a systematic review
<b>Update</b>	1b	If the protocol is for an update of a previous systematic review, identify as such
<b>Registration</b>	2	If registered, provide the name of the registry (e.g., PROSPERO) and registration number in the Abstract
<b>Authors</b>		
<b>Contact</b>	3a	Provide name, institutional affiliation, and e-mail address of all protocol authors; provide physical mailing address of corresponding author
<b>Contributions</b>	3b	Describe contributions of protocol authors and identify the guarantor of the review
<b>Amendments</b>	4	If the protocol represents an amendment of a previously completed or published protocol, identify as such and list changes; otherwise, state plan for documenting important protocol amendments
<b>Support</b>		
<b>Sources</b>	5a	Indicate sources of financial or other support for the review
<b>Sponsor</b>	5b	Provide name for the review funder and/or sponsor
<b>Role of sponsor/funder</b>	5c	Describe roles of funder(s), sponsor(s), and/or institution(s), if any, in developing the protocol
<b>INTRODUCTION</b>		
<b>Rationale</b>	6	Describe the rationale for the review in the context of what is already known
<b>Objectives</b>	7	Provide an explicit statement of the question(s) the review will address with reference to participants, interventions, comparators, and outcomes (PICO)
<b>METHODS</b>		



<b>Eligibility criteria</b>	8	Specify the study characteristics (e.g., PICO, study design, setting, time frame) and report characteristics (e.g., years considered, language, publication status) to be used as criteria for eligibility for the review
<b>Information sources</b>	9	Describe all intended information sources (e.g., electronic databases, contact with study authors, trial registers, or other grey literature sources) with planned dates of coverage
<b>Search strategy</b>	10	Present draft of search strategy to be used for at least one electronic database, including planned limits, such that it could be repeated
<b>Study Records</b>		
<b>Data management</b>	11a	Describe the mechanism(s) that will be used to manage records and data throughout the review
<b>Selection process</b>	11b	State the process that will be used for selecting studies (e.g., two independent reviewers) through each phase of the review (i.e., screening, eligibility, and inclusion in meta-analysis)
<b>Data collection process</b>	11c	Describe planned method of extracting data from reports (e.g., piloting forms, done independently, in duplicate), any processes for obtaining and confirming data from investigators
<b>Data items</b>	12	List and define all variables for which data will be sought (e.g., PICO items, funding sources), any pre-planned data assumptions and simplifications
<b>Outcomes and prioritization</b>	13	List and define all outcomes for which data will be sought, including prioritization of main and additional outcomes, with rationale
<b>Risk of bias in individual studies</b>	14	Describe anticipated methods for assessing risk of bias of individual studies, including whether this will be done at the outcome or study level, or both; state how this information will be used in data synthesis
<b>Data Synthesis</b>	15a	Describe criteria under which study data will be quantitatively synthesized
	15b	If data are appropriate for quantitative synthesis, describe planned summary measures, methods of handling data, and methods of combining data from studies, including any planned exploration of consistency (e.g., $I^2$ , Kendall's tau)
	15c	Describe any proposed additional analyses (e.g., sensitivity or subgroup analyses, meta-regression)
	15d	If quantitative synthesis is not appropriate, describe the type of summary planned
<b>Meta-bias(es)</b>	16	Specify any planned assessment of meta-bias(es) (e.g., publication bias across studies, selective reporting within studies)
<b>Confidence in cumulative evidence</b>	17	Describe how the strength of the body of evidence will be assessed (e.g., GRADE)

*Table 2: PRISMA-P Checklist (Moher et al., 2015, p. 5)*

### 3.3.2.2. Information Sources

For this project multiple electronic data-bases were used in order to ensure all resources that were relevant to this study were identified. The chosen sources were selected with the aim of incorporating the use of 'grey literature' due to the fact that trafficking studies are often carried out by non-academic organisations, therefore not accessible in strictly academic databases. The primary database used, and one for which the search strategy was designed for was Scopus. Scopus met the requirements for accessibility, research fields and search filtering that were necessary for this study. In conjunction with Scopus, the search strategy was adapted for application to the UNODC database as a means of incorporating a combination of government documents, NGO reports, government websites and conference proceedings. Using appropriate search operators, Scopus and the UNODC database were searched systematically using the search function. This was supplemented by recommendations from the expert panel and forward and backwards reference checking, where the citations and references of included articles were manually searched for other potential sources to include in the screening process.

### 3.3.2.3. Key Search Words

Through the process of conducting a thematic review, knowledge of key vocabularies on the given topics was established. This knowledge was used in conjunction with the word frequency function on NVIVO and the recommendations of the expert panel to determine appropriate search words for this research. A combination of the below words were used to develop search strings for the review.

*Note: the “\*” symbol is used to search for truncated forms of the word. i.e. “Traffick\*” Trafficking, Trafficker, Traffickers.*

“Human”, “Person”, “People”, “Victim”

OR

“Drug”, “Narcotic”, “Pharmaceutical”, “Pill”

OR

“Wildlife”, “Animal”, “Beast”, “Bird”, “Creature”, “Mammal”

OR

“Weapon”, “Firearm”, “Arm”, “Light Arm”, “Small Arm”, “Gun”, “Munition”

AND

“Traffick\*”, “Trad\*”, “Deal\*”, “Smuggl\*”, “Run\*”, “Peddl\*”, “Transport\*”, “Exchang\*”

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AND

"Organisation\*", "Business", "Business Model", "Strategy", "Management", "Process", "Practic\*", "Network\*", "Concept\*", "Framework", "Model\*", "System", "Chain", "Activ\*",

AND NOT

"Protein\*", "Receptor", "Virus", "Molec\*", "Biolog\*"

During testing of potential search combinations, there was evidence of the terms "trafficking" and "human" or "drugs" turning up results in the field of medicine with regard to the trafficking of medicines through bodily cells and their effect on health. This is clearly outside the scope of this research and as a result an "AND NOT" clause was added to the search strings of human and drug trafficking to filter out these results.

As informed by the literature review, the term smuggling in the context of humans referred to willing participants being physically transported across borders. For this reason the search term "smuggl\*" was excluded from the human trafficking search string, but included in the other subcategories of trafficking due to the established relevance of the term to these contexts.

After the testing of various search strings, an example of a final search string from Scopus is shown below.

(TITLE-ABS-KEY ( "Human" OR "Person" OR "People" ) AND TITLE-ABS-KEY ( "Traffick\*" ) AND TITLE-ABS-KEY ( "Organisation\*" OR "Business" OR "Strategy" OR "Management" ) AND NOT TITLE-ABS-KEY ( "migr\*" OR "Protein\*" OR "Receptor" OR "Virus" OR "Molec\*" OR "Biolog\*" ) ) AND ( LIMIT-TO ( LANGUAGE , "English" ) )

Please see appendices for the final search strings used in this review.

### 3.3.3. Eligibility Criteria

Articles retrieved from the databases listed above will be subjected to screening and review. At each step of the process, articles will be assessed based on the selection criteria below and included for further screening in the next step or excluded based on its failure to meet specified criteria.

#### 3.3.3.1. Study Characteristics

Studies will be eligible for inclusion if they:

- Use a population or participants that have been or are still involved in any aspect of the trafficking process (participant or victim).
- Present findings on either human, drug, weapon or wildlife trafficking.
- Present research that is or could be explained using an application of management theory.
- Show no signs whereby researcher bias has clearly altered results. Other forms of bias that may be less significant such as individual viewpoints will be accounted for but may not lead to exclusion.
- Are written in any year between and including the years of 2000 and 2017. Articles published prior to 2000 and after 2017 will be excluded in order to ensure equal time periods.
- Are written in English (exceptions may be made where translation is possible)

During testing of the protocol and reviewing the resultant articles, it quickly became apparent that certain factors deemed it necessary to include a start date of 2000 as part of the eligibility criteria. *The Convention Against Transnational Organised Crime*, also known as the Palermo Convention, introduced three protocols that act as a means to prevent, suppress and punish against the crimes associated with trafficking. These protocols were adopted by the United Nations General Assembly in the year 2000 and offer practical assistance on the implementation of anti-trafficking strategies. These three protocols mark the modernisation of the term 'trafficking' in legal documentation therefore setting a standard for research following their implementation. The author made a decision in conjunction with the expert advice of the research team and review panel to include a start date of the year 2000. This is to ensure the articles included represents a modern view of trafficking and therefore denote an accurate view of current criminal business; thus allowing for a comprehensive application of management theory to be made. This review therefore includes articles published between and including the years 2000 to 2017.

No restrictions were placed on study setting as trafficking represents a worldwide issue, and different forms of trafficking are more prevalent in different parts of the world. For example, including studies conducted only on Southeast Asia may be relevant to human trafficking, but less so to wildlife trafficking. Discrimination based on setting is therefore inappropriate.

No restrictions were placed on publication status or the type of research included due to the decisions made to incorporate grey literature. As stated earlier, grey literature is often written by organisations whereby publication is not the primary objective of that organisation (Schöpfel, 2010). This is often the case for organisations that report findings on trafficking activities across the world in the form of government reports or conference proceedings. In order to ensure this systematic review is able to produce a synthesis of research conclusions from a representative body of literature, it was decided that publication status or type of publication will not be used as selection criteria.

No restrictions were placed on methods used in the study as this report is focusing more on synthesising research to draw a more accurate conclusion than analysing the effectiveness of methodological processes.

#### 3.3.3.2. Selection Process

From key word searches, citations will be downloaded to Endnote with all duplicate citations removed. This will be done for all forwards and backwards reference screening and citation tracking as well. The selection process will be as follows and use the PRISMA flowchart (Figure 2) as the reporting framework.

- **Title and Abstract Screening:** The titles and abstracts of all articles will undergo a screening process whereby each is reviewed against inclusion/exclusion criteria. If articles relevance is unclear, it will be included until this can be determined.
- **Retrieval and Screening of Full Text Articles:** After excluding articles that were deemed unfitting of the criteria, full text copies of the remaining articles will be obtained. These will be further screened against the selection criteria to assess eligibility.

- **Data Extraction:** From the remaining articles, data will be extracted based on the studies population, phenomena in question, characteristics and outcomes. Primarily applications of management theory or opportunities where an application of theory could aid in understanding the phenomena will be recorded.
- **Study Appraisal:** It is important to assess the quality and reliability of articles, primarily for those cases of non-peer-reviewed (grey) literature that have been included. Studies will be assessed for how comprehensively an article meets selection criteria (does not meet, partially meets, and fully meets criteria). Articles will also be measured based on the potential for researcher bias in the article.
- **Data Analysis:** Information on the studies population, phenomena in question, characteristics and outcomes will be summarised. Statistics will also be pooled and presented as average of all relevant articles as trafficking statistics often vary between articles due to the difficult nature of extracting information on 'underground' activities (Scholtenhardt, Astill-Torchia, & Jolly, 2012)

## PRISMA Flowchart

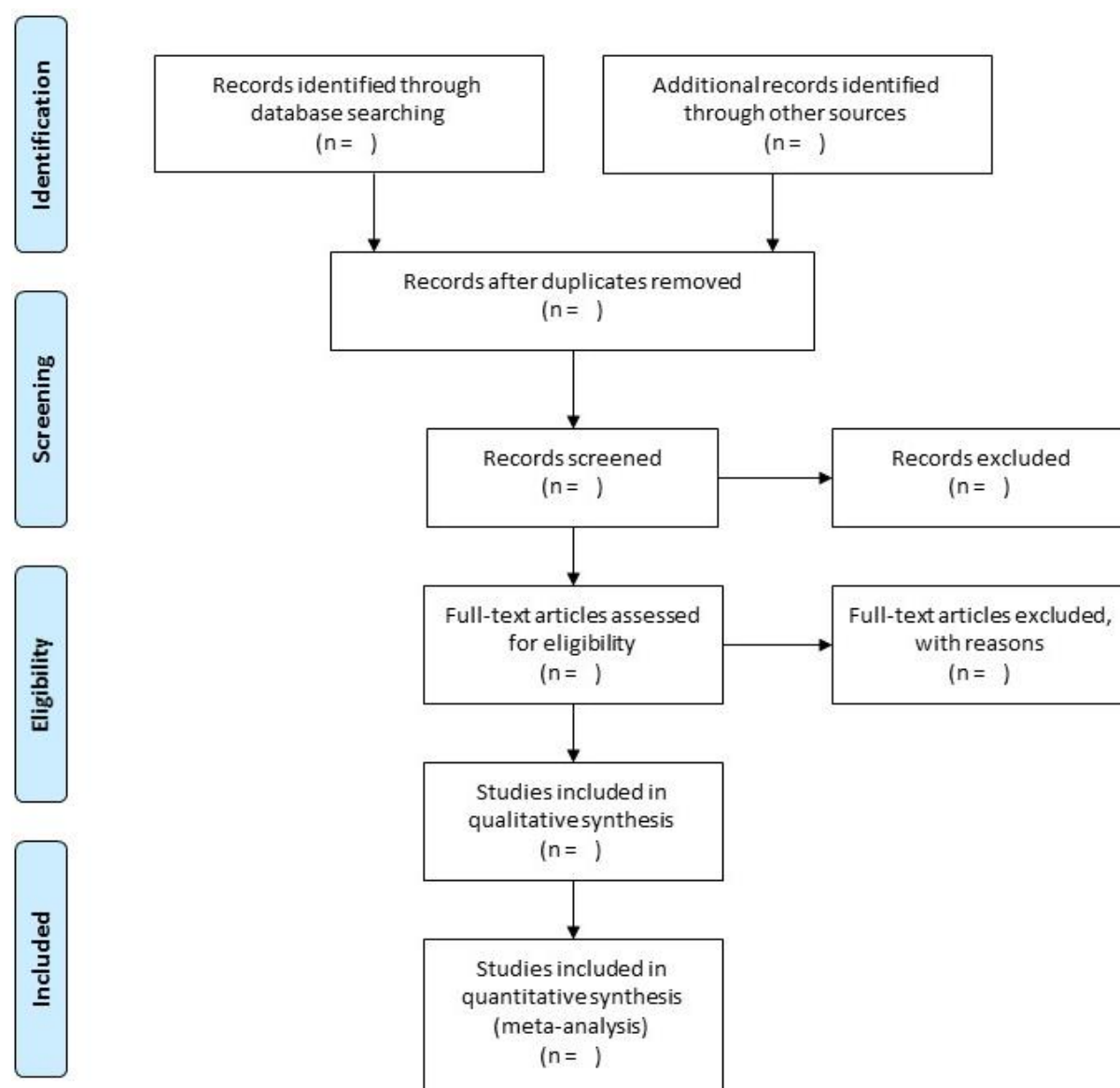


Figure 2: PRISMA Systematic Review Flowchart (Moher et al., 2009, p. 3)

### 3.4. Document Identification

Using the predefined search criteria for this study, SCOPUS was searched using different combinations and permutations of the search strings to identify all relevant peer-reviewed literature on the four chosen sub-topics of this report. The results for each of the four final searches is shown in Table 3 and represents the number of articles found as at the time the search strings were entered into SCOPUS (14<sup>th</sup> February 2018). Additional filters were added to the search strings used to get these numbers including date restrictions and specific keywords.

	<i>Human</i>	<i>Drugs</i>	<i>Weapons</i>	<i>Wildlife</i>	<i>TOTAL</i>
<i>Articles Identified</i>	250	309	97	335	991

Table 3: Articles Identified Through Final Scopus Search

### 3.4.1. Keywords

To ensure a practical number of articles was returned from searching SCOPUS, the keyword filter was used to exclude articles that were clearly deemed unsuitable for the intention of this review. An example of this was seen when searching for human or drug trafficking whereby articles reporting on the “...effectiveness of lymphocytes for trafficking medicinal drugs through human bodies” were returned in the search. For this reason an AND NOT search function was included in the search string and all articles with the Key Word *Lymphocytes* were excluded. This process was used to exclude a number of keywords responsible for returning irrelevant results to each search. Similarly, while conducting the literature review, the author used the NVIVO word frequency function to determine which keywords appeared most frequently in articles deemed relevant to the purpose of this research. These keywords were then used as part of the search string to assist in increasing search accuracy.

### 3.4.2. Document Eligibility

Following the search, all 991 articles were imported into an Excel spreadsheet with data pertaining to the articles author, title, published year, keywords, source title, and document type were used to screen for eligibility. Each article was subjected to an analysis of three primary factors (title, abstract and keywords) to determine its suitability for inclusion in the final review. It was deemed that articles would be included if it was apparent that they *assessed, described or explained the processes or practices used by criminal groups to engage in their respective activities*.

This then allowed for the assessment of these actions and explain them using management theories concepts and frameworks. In cases where the purpose was unclear, the research team made the decision to include them until further confidence could be gained about the research topic from the next step of the screening process. Of the 991 articles



returned in Scopus, 784 were excluded as the topic of the research did not assess, describe, or explain any processes used by traffickers to engage in their activities. A great deal of articles focused on the impact of victims and the clear breach of human decency many of these practices entail. While this is extremely important research, they did not discuss any form of practices that can be explained using management theory. Shown in Table 4 are the results of included studies for each of the four sub-categories of trafficking. A total of 32 articles were identified via other sources such as Access UN, the UNODC database or Google Scholar and supplemented by forwards and backwards reference checking of which 11 duplicate articles were removed, this left 21 additional articles on top of those found via Scopus searching.

*Article Selection Process, Step One*

	<i>Human</i>	<i>Drug</i>	<i>Weapon</i>	<i>Wildlife</i>	<i>Total</i>
<i>Identified via Scopus</i>	250	309	97	335	991
<i>Excluded</i>	193	248	75	285	801
<i>Included</i>	57(+3)	61(+14)	22	50(+4)	190(+21)

*Table 4: Articles Included After First Stage of Inclusion Process*

*Note: Please see section 3.4.3 for individual PRISMA flow diagrams of the screening process.*

Following the screening of each article's title, abstract and keywords, the citations and full texts of all included articles were downloaded using subscriptions to various journals and databases that the researcher had access to through the University of Canterbury. The full report of each article was then read to assess further its eligibility for inclusion in the final review. In order to assess the eligibility, each article was reviewed with the guiding principles of the research objectives and included all those that *assessed, described or explained the processes or practices used by criminal groups to engage in their respective activities*. During development of the review protocol, it was decided that a list of what can be described as current management theory disciplines was a necessary to help make decisions about

whether an article's conclusions were deemed relevant. To do this, the 25 divisions of expertise from the Academy of Management journal was used. These represent 25 management disciplines that was agreed accurately portray a current understanding of 'management theory' (Academy of Management [AOM], 2018). These 25 were refined to 10 broader categories for relevance and simplicity:

1. Communications and Information Systems
2. Conflict Management
3. Entrepreneurship
4. Human Resources
5. International Business
6. Operations and Supply Chain Management
7. Organisational Behaviour and Theory
8. Gender and Diversity Management
9. Strategic Management
10. Technology and Innovation Management

Of the 211 articles that were assessed for eligibility through full text analysis, a total of 148 were removed. The reasons for exclusions were most commonly due to an article reporting on how law and policy changes could be introduced in order to assist in the law enforcement efforts against organised crime groups. Unfortunately, the conclusions in these articles were not descriptive of practices of the criminal groups themselves but more the practices of government and NGO organisations fighting the crime. This was deemed inapplicable to the research objectives of this thesis. Similar to this the following represent a number of common topics that were excluded on the grounds of irrelevance; social and political activism, screening tools for victim identification, chemical profiling for drugs, chemical profiling of animals, spatial and temporal analysis of animal populations, and challenges faced by law enforcement. While these are important topics that warrant study, they clearly do not meet the criteria of this study and were therefore excluded from further analysis. A total of three articles were also excluded as their conclusions reported on data that was gathered preceding the dates specified in the inclusion criteria despite the article being published within the eligible time frame.

In a number of cases where the researcher was unsure about a decision to include or exclude, the second opinion of a review panel member was sought. This process resulted in a total of 63 articles being included for use in the study (Table 5). A section of the reference list includes a list of full citations for the all articles included in the study for transparency. The full PRISMA diagrams showing the screening process can be found in the appendices.

#### Articles Included in the Systematic Review

	Human	Drugs	Weapons	Wildlife	TOTAL
Articles Included	17	24	7	15	63

Table 5: Number of Articles Included for the Final Analysis.

### 3.4.3. Individual PRISMA Flow Diagrams

#### Human Trafficking PRISMA Flow Diagram

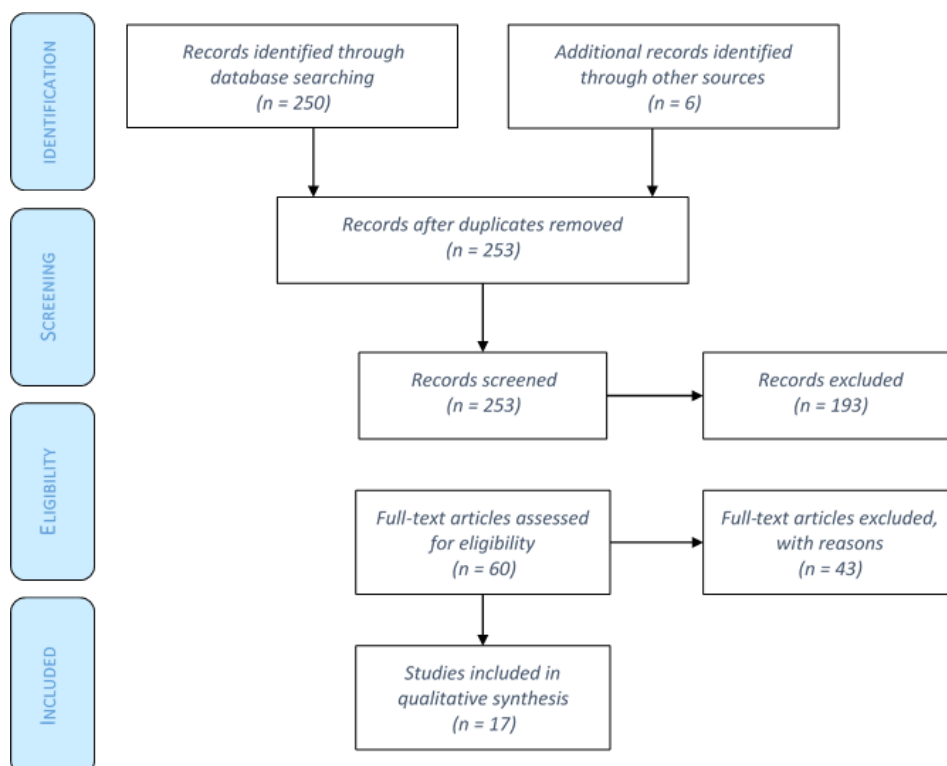
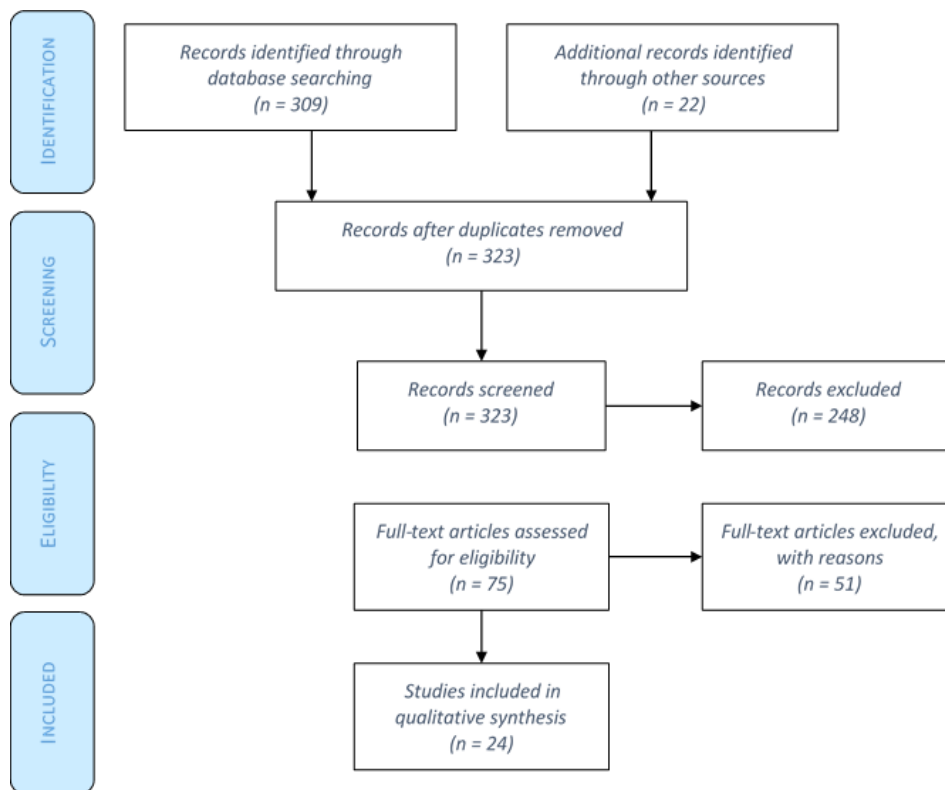


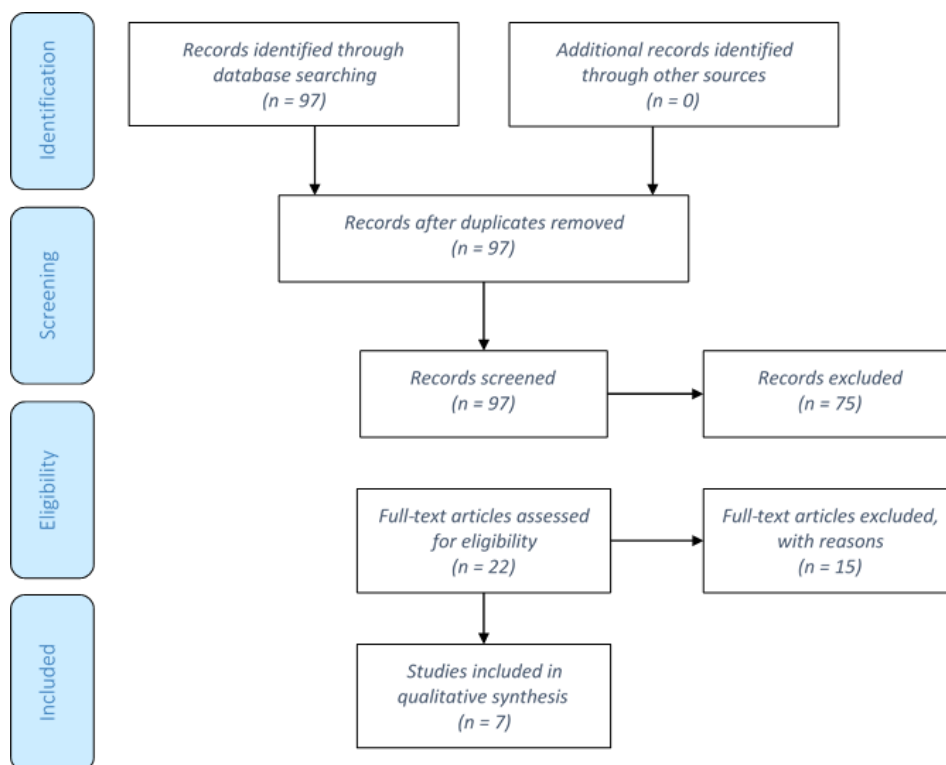
Figure 3: PRISMA Flow Diagram for Search on Human Trafficking.

*Drug Trafficking PRISMA Flow Diagram*

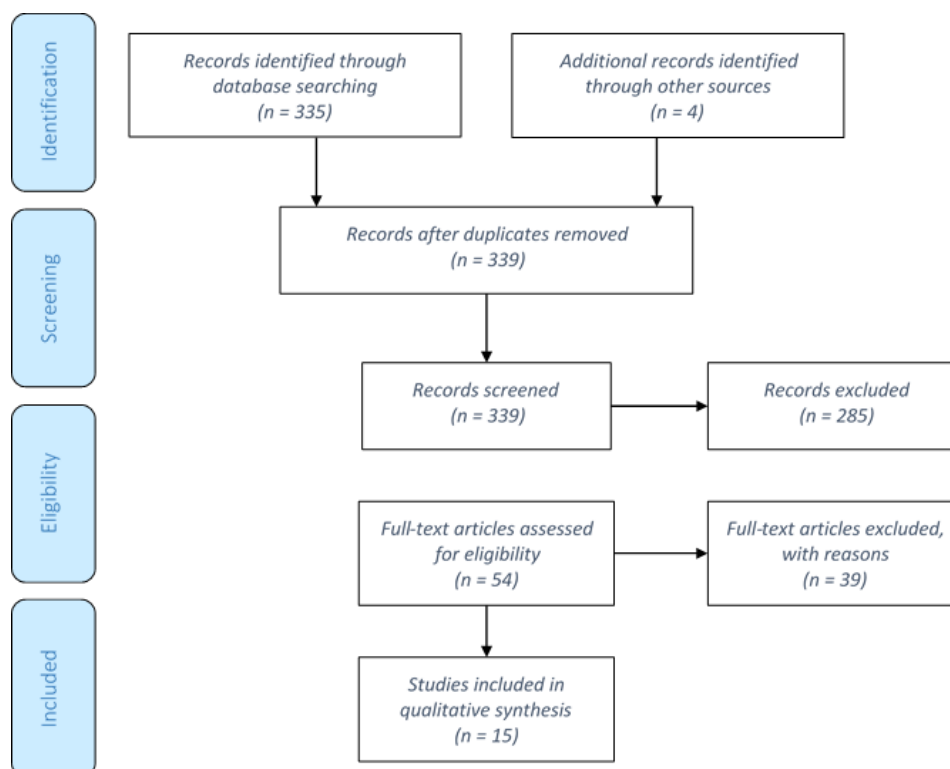


*Figure 4: PRISMA Flow Diagram for Search on Drug Trafficking.*

*Weapons Trafficking PRISMA Flow Diagram*



*Figure 5: PRISMA Flow Diagram for Search on Weapon Trafficking.*

*Wildlife Trafficking PRISMA Flow Diagram**Figure 6: PRISMA Flow Diagram for Search on Wildlife Trafficking.*

#### 3.4.4. Statement of Ethics

This research adheres to the standards laid down by the University of Canterbury Human Ethics Committee. As the primary method of this research exclusively uses secondary data, the researchers were subjected to comparatively low risk. It is within the researcher's best interest to represent the authors of articles used in this review, and their work, as responsibly as possible. The desire for members of the expert panel to remain anonymous was accounted for and left to their prerogative. Ethical clearance was granted by the University of Canterbury Human Ethics Committee on Tuesday, 5 September 2017 (Appendix 7.2).

### 3.5. Chapter Summary

This chapter first outlined the rationale and purpose for choosing the research method that was settled on for this thesis including justification for the use of an expert panel and the inclusion of grey literature. A comprehensive explanation of the testing and processes used to develop and then conduct a systematic review followed. The PRISMA-P model was introduced as a guiding framework for conducting this review and all inclusion criteria for the

articles that would eventually be included in this review was then described in detail. Finally, a full description of the review process from start to finish was described including minor amendments to the initial protocol and a detailed account of the final numbers arrived at for the conducting of this review.

## 4. Results and Discussion

The following chapter presents the findings of this systematic review in two distinct sections. The first of these sections discusses the characteristics of articles that were included in the study for the final review. The second section addresses the overarching aim of this report which is to assess how core management theories, concepts and frameworks help to explain the business activities and managerial behaviour utilised by trafficking organisations. This chapter integrates the reporting and discussion of results to show how the final articles contribute meaningful contributions to this objective.

### 4.1. Article Characteristics

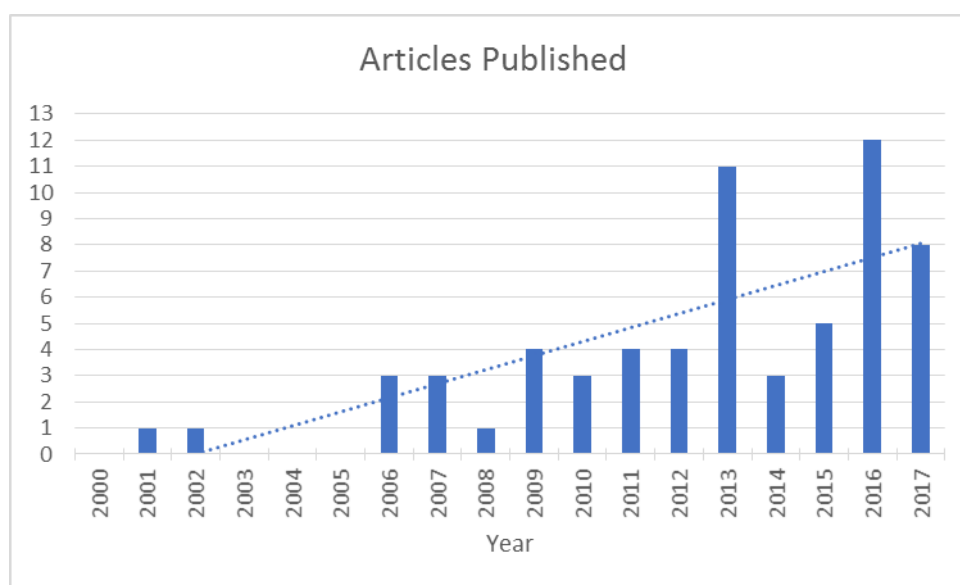
The characteristics summarised below look to fulfil research objective 2; how do various article characteristics such as authorship, publishing year or journal outlets describe the body of trafficking literature? Information gathered from all included articles was compiled into a comprehensive excel document where data pertaining to the articles authorship, subject definition used, journal outlet, research location, university affiliations and any international collaboration, research approach/method/topic, subject of interest, and the year of publication were gathered. Gathering of information alone was not sufficient to meet this objective. Data was compiled, organised and then presented to reveal trends, irregularities, limitations or research gaps. This allowed meaningful conclusions to be drawn with regard to the current state of trafficking literature. The majority of these data and defining features were accessible through citation characteristics alone i.e. number of authors, year of publication, and journal affiliation. Other data were extracted using NVIVO coding and manual article searches.

#### 4.1.1. Published Year

From the 63 articles included in the final review, there was a positive linear trend showing that there has been a general increase in articles published on trafficking over time (Figure 7). The first article included in the review was published in 2001 and is the only published in that year. Interestingly 2001 and 2002 each have only one article published in those years before a three year gap with none. The most popular year for trafficking literature has been 2016, closely followed by 2013 each with 12 and 11 articles respectively. These two

years are significantly higher than the trend line which is curious, as is the significant drop in 2014 to only three articles following the 11 published in 2013. This could be the result of a number of conferences in 2012 generating research interest that impacted the following year. The *Conference of the Parties to the United Nations Convention against Transnational Organized Crime* was held in Vienna in October of 2012 and it is possible that this generated an increase in research interest for 2013 hence an increase in articles published.

*Summary of Publishing Date Characteristics*



*Figure 7: Publishing Date Characteristics*

When separated into their four separate groupings, each of human, drugs, weapons and wildlife trafficking all showed a general increase in the number of articles published per year through the addition of linear trend lines to data plotted on graphs. This is statistically less reliable as the trends are based on lower numbers of data; weapons trafficking in particular only having seven articles. However, it can still be concluded that there has been a general increase in the number of articles published on the broader topic of trafficking over time.

There are several contributing factors that impact this growth trend in research on trafficking. The first and most simple explanation is simply that the crime in question is growing, therefore growth in crime rate leads to an increase in efforts to combat those crimes,



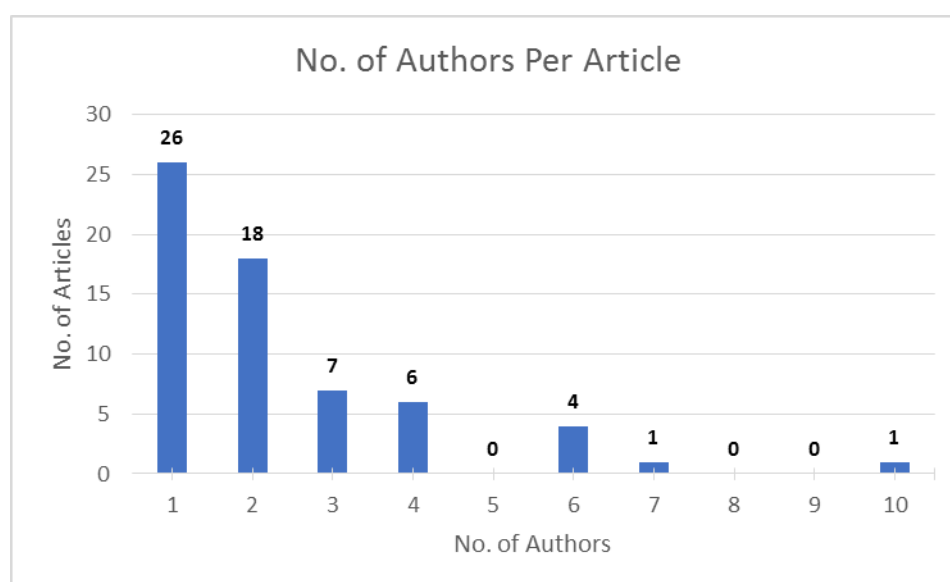
which in turn drives research efforts. In discussing this with members of the expert panel, it was suggested that in their professional experience, a great deal of research is often done to lobby for the correction of or introduction of law and various national legislation (Andrees & Van der Linden, 2005). This is because governments require evidence with which to base legislative changes on. This suggests that when broken down more comprehensively, the crimes themselves grow and exposure increases, research initiatives are carried out as a means of justification for legal action. This leads to changes in national law and legislation and a resulting increase to media exposure. This starts a cyclical effect with media exposure generating further interest and creating new research initiatives that highlight more ways to combat the crime. Until there is evidence of a significant reduction in the rate of these crimes, the trend line suggests that articles will continue to be published at an increasing rate until something can be done to effectively prevent, suppress and punish those involved in trafficking practices.

#### 4.1.2. Authorship

Trafficking literature was written primarily by individual authors, with 41% of articles included fitting this category. The second highest was articles whereby two authors collaborated to produce a piece of research, with 29% fitting this category. The authorship characteristics can be seen in Figure 8. These findings are somewhat contrary to what the author expected. It was anticipated that as trafficking represents a problem of global proportion (UNODC, 2018) that there would be a higher incidence of co-authorship. Aced, Barroso, Casanueva and Galán (2006) state that it is important to distinguish between *incidence* and *extent* of co-authorship. Incidence represents the proportion of articles with more than one author, whereas extent refers to the average of authors within co-authored papers. In both cases, the factors influencing co-authorship can be due to general or discipline specific factors. The *United Nations Convention Against Transnational Organised Crime* (UNODC, 2000) discusses trafficking and its impact across human rights, legal and law enforcement disciplines. This backs up what could be learnt from the literature review suggesting that trafficking research takes on an interdisciplinary nature. It could be interpreted then that there would be collaboration between experts in different fields to produce trafficking scholarship, but this is not supported in these findings. In an article presented on the authorship characteristics of management literature, Acedo, Barroso,

Casanueva, and Galán (2006) reviewed 11,022 documents from the top ten management journals and revealed that co-authorship was a growing trend in management, rising from 8.0% in 1950 to 54.9% by 1993 and then 73.9% in their study in 2006. The authors also stated that this is a trend not independent of management literature but a trend that is shared across many areas of scientific research. This trend is due to growth in the general knowledge base, which in turn increases the number of experts and the degree of specialisation within broader fields. This fosters an environment in which cooperation is both practical and convenient therefore an increase to the incidence of co-authorship can be seen.

#### *Summary of Authorship Characteristics*



*Figure 8: Authorship Characteristics*

There is little research on the specific authorship characteristics of trafficking literature but it was assumed that a global problem requiring the efforts of so many different professionals to combat the crime would also require high numbers of research collaboration. It can only be assumed that perhaps, as evident by the limited amount of research specific to this topic, that there are not as many industry professionals who were able to collaborate on the management and business practices of trafficking organisations. This may mean that, unlike research on typically popular research areas such as law enforcement practices or victim rescue and rehabilitation (UNODC, 2010), there simply are not enough industry experts for collaboration to be convenient or practical. It is also possible that this is the result of a lack

of established networks in the field making collaboration difficult and impractical compared to conferences or other network events in other disciplines where authors are able to meet and discuss mutual research interests. It is also possible that due to the inherently dangerous nature of conducting first-hand research on trafficking, it may be more practical to conduct this research alone as opposed to collaboratively. While there is not a comparable statistic for the incidence of co-authorship in broader trafficking literature, it can be argued that 59% co-authorship incidence is lower than anticipated based on co-authorship characteristics from the field of management.

#### 4.1.3. Organisational Locations, Affiliations, and Collaborations

The geographic location characteristics are a summary of where research is being conducted based on an Authors university or organisational affiliations. Based on their respective affiliations organisations from 24 countries were represented across the 63 articles selected in this study. This can be seen in Table 6.

##### *Organisational Affiliations by Country*

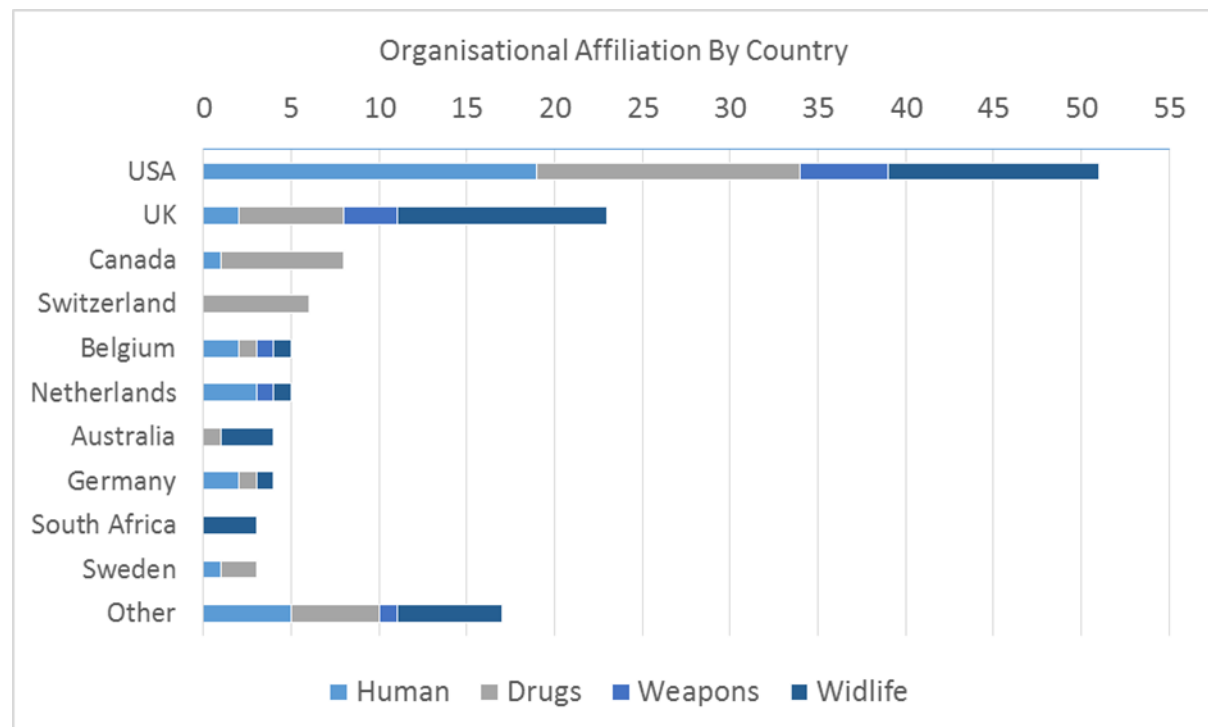
Country	No. of Organisational Affiliations
<i>Australia</i>	4
<i>Austria</i>	1
<i>Belgium</i>	5
<i>Bolivia</i>	1
<i>Brazil</i>	1
<i>Bulgaria</i>	1
<i>Canada</i>	8
<i>China</i>	2
<i>Germany</i>	4
<i>Israel</i>	1
<i>Kenya</i>	1
<i>Malaysia</i>	1
<i>Mexico</i>	2
<i>Netherlands</i>	5
<i>New Zealand</i>	1

<i>Portugal</i>	2
<i>Slovenia</i>	1
<i>South Africa</i>	3
<i>Sweden</i>	3
<i>Switzerland</i>	6
<i>Tanzania</i>	1
<i>Turkey</i>	1
<i>United Kingdom</i>	23
<i>United States</i>	51

*Table 6: Total Number of Organisational Affiliations by Country.*

Figure 9 is a visual representation of the top ten countries as ranked by the total number of author affiliations. This is then broken down into the four subcategories of trafficking as well to gain further insight into the relationship between the affiliations and subject matter. Note, some authors reported being affiliated with multiple organisations.

#### *Summary of Organisational Affiliation Characteristics*



*Figure 9: Top Ten Countries by Instances of Organisational Affiliation*

As shown, the United States of America have a disproportionately large number of organisational affiliations with 51 instances of an author being associated with an American organisation, accounting for almost 40% of total affiliations. This is followed by the United Kingdom with 23 instances of an author being affiliated with an organisation in the United Kingdom. When broken down into the four sub-categories of trafficking, the USA was ranked top in all of them (top equal in Wildlife trafficking with the United Kingdom with 12 affiliations). There were also some countries focus was tailored significantly towards one of the four sub-categories in comparison to others. For instance, Canada and Switzerland were predominantly involved in research on drug trafficking, with only one case of human trafficking between the two of them. According to the Bureau for International Narcotics and Law Enforcement Affairs, both Canada and Switzerland are significant source and destination countries for various narcotics including MDMA (ecstasy), marijuana and chemical derivatives used for making synthetic drugs. However, both countries were described in the most recent International Narcotics Control Strategy Report (U.S. Department of State, 2017) as having strict government initiatives for controlling this and excellent funding for developing further initiatives. This may go some way as to explaining why the two countries have a high proportion of drug related research. Both the Canadian and Swiss governments have significant drug related problems but may be equipping themselves with research as a means to aid in the correction or introduction of new strategies to combat the problems. Similarly, the UK, Australia and South Africa showed a higher proportion of research on wildlife trafficking among their organisational affiliations in comparison to other topics.

Another key finding within this category was the relative weighting of affiliations from developed vs developing nations. Using rankings set by the United Nations in 2017, countries were separated into developing or developed countries (United Nations Department of Economic and Social Affairs [UNDESA], 2018). Only 9% (12 of 129) total affiliations were from the 10 countries in this study ranked as developing by UNDESA (2018) in 2017. Based on documents such as the *Global Report on Trafficking in Persons (2016)*, the *Trafficking Victims Protection Act [TVPA] (2000)*, the *International Narcotics Control Strategy Report (2017)* and the *World Wildlife Crime Report (2016)*, these countries ranked low in their capacity to effectively suppress and combat trafficking practices. This clearly suggests that there is a direct link to a nation's status as 'developing' and their ability to combat trafficking practices.

Andrees & Van der Linden, (2005) suggest that research is often carried out as a means of informing or correcting various law and legislations. This is because governments require evidence with which to base legislative changes on. As discussed previously, many developing countries lack the required resource capacity to effectively monitor and implement effective anti-trafficking studies. This goes some way to explaining the vast contrast in weighting for developed vs developing countries in terms of their respective organisational affiliations with trafficking research.

#### 4.1.4. Subject Definition Used

As observed previously, no one definition is agreed upon internationally for various forms of trafficking. For this reason data was extracted where applicable on the definitional choices used by the authors as it was agreed that this is a useful contribution and a potentially important topic for further research. Definitions were categorised based on where they were cited from; legal/National legislation, United Nations, self-defined, dictionary, academic source etc. Where no explicit definition was used, this instance was marked as undefined. It is also important to note that only the definition of the respective sub-category was included i.e. human, drug, weapon, or wildlife trafficking. Definitions of more specific topics such as 'Voodoo' and 'Cyber networks' were not comparable and therefore not included.

The first and most key finding of this characteristic was that definitions were most commonly present in articles on human trafficking. There were ten cases of definitions being used within the human trafficking group compared to one instance from drug trafficking, two from weapon trafficking and four from wildlife trafficking articles. The only point of interest that can be drawn from the drugs, weapons and wildlife sub-categories of trafficking is that they were defined less and where they were defined, the definitions used were relatively consistent. This suggests to us that defining the subject area is of greater importance for research on human trafficking than the other groupings. Smith and Kangaspunta (2012) suggest that the difficulty of defining human trafficking lies within the conceptual distinctions between legal, political and cultural differences in their understanding of human trafficking. Meaning there are those advocating for the protection and support of those victimised by trafficking, academics seeking to broaden the understanding of both the nature and extent of the crimes and action-based activities and research with the aim of bringing justice to those

who commit the crimes. This has led to definitional lines becoming blurred between professional disciplines hence the difficulty in being clear regarding subject matter from the outset of research. Of the 17 articles included in this study on human trafficking, seven did not use a definition. Of the 10 that did use a definition, three stated that their reasoning for including a definition was due to the 'difficult nature of defining human trafficking' (Greiman & Bain, 2013; Hultgren, Jennex, Persano, & Ornatowski, 2016; Verhoeven, van Gestel, de Jong, & Kleemans, 2013). Similarly Leman and Janssens (2007) described the grey area that exists between smuggling and trafficking as the reason for including a definition. Other articles provided no justification for their inclusion of a definition.

Secondly, it needs to be addressed that of the 10 cases of a 'human trafficking' definitions being used in an article, there were a total of six different definitions used. These definitions were cited from a range of academic, legislative and government body sources. Examples of references used include, The Code of Laws of the United States of America (two citations), the Palermo Protocol (three citations), the Department of Homeland Security (one citation), The State of California's Department of Justice (one citation), the Trafficking of Victims Protection Act (one citation), and then two cases where an author cited multiple definitions and then synthesised key definitional elements and created their own definition for the purpose of their research. It speaks volumes that in such a minute sample of research, whose focus is on a very small corner of trafficking research in general, that so much variety in defining a topic can exist. Attention was then drawn to whether these definitions had any impact on the reporting of findings from research.

Within this review, two genuine definitional errors were identified in which the term 'human trafficking' was used and defined where the term 'sex trafficking' was more appropriate. In these two cases, the author in question has used a definition of sex trafficking (one of a number of forms of human trafficking) under the pre-text of defining human trafficking, which is a much broader term encompassing forced labour, prostitution, slavery, child soldiers, and organ trade. This is of course a minor error, but considering two errors were present in a very small proportion of research, this finding was deemed to be of high significance as reporting accuracy can be scrutinised when something that characterises research at the very beginning is incorrect. This begs the question as to whether there are further cases of this that also impact the accuracy of other research. It is clear that even in a

small group, the problems with defining trafficking are vast and may in fact be impacting the accuracy of findings. This will be addressed further in recommendations for further research.

#### 4.1.5. Journal Outlets

This section seeks to address journal and publishing outlet characteristics to assess their relevance in this review. There were a total of 36 different journals represented across the 63 articles included in this study. Only six of those 36 were represented more than once shown in Table 7.

*Journal Outlet Representations*

<i><b>Journal</b></i>	<i><b>Number of times represented</b></i>
<i>International Journal of Drug Policy</i>	<b>7</b>
<i>Trends in Organized Crime</i>	<b>7</b>
<i>European Journal on Criminal Policy and Research</i>	<b>5</b>
<i>Global Crime</i>	<b>5</b>
<i>Asian Journal of Criminology</i>	<b>3</b>
<i>Forensic Science International</i>	<b>2</b>

*Table 7: Instances of Journal Outlet Representations*

The only finding of interest established from these characteristics is the instances of which trafficking research is published outside of journals with subject specificity. For instance, 17 of the 36 articles were journals that specifically present findings on criminology. Of the remaining 19, nine were social science journals, four were conservation journals, three were law and policy journals, and one journal was represented for each of healthcare, IT and business. For this review, the most interesting finding is that of the lack of business journals represented in this study. Given the lack of business research on trafficking established from the literature review, this finding is not surprising. It simply emphasises the fact that research on this area is extremely underrepresented. The Public Choice journal, identifies itself as a peer reviewed journal that covers the intersection of economics and political science. The



author acknowledges that to identify this as a business journal is a stretch, but nonetheless, Public Choice was the only journal in this study to use any business terminology in its identification.

The only major outlier in the journal outlet characteristic was the representation of journals that present articles on conservation. All four of the journals dedicated to this topic came from the sub-category of wildlife trafficking. No article identified as part of the human, drugs or weapons subcategory was published in a conservation journal. This finding again is not surprising as it is primarily cases of wildlife trafficking that threaten both animal and environmental conservation.

#### 4.1.6. Subject of Interest

This information is in regard to what is actually being examined in the research. Subject of Interest was simply classified into Group, Network and Industry categories. It was common for articles to report findings on a case study of a single gang and its practices but some articles reported findings from interviews with individuals or by assessing a broad national or international level network. For this reason it was deemed appropriate to discuss factors pertaining to the subject of interest and in most cases this was a simple process. Where an article reported findings on more than one of these categories, secondary opinion was sought from the research team and the article grouped into the category it most predominantly fit.

For consistency purposes in this section, the 'group' classifications was described as articles presenting findings on a collection of individuals such as victims or offenders who were not connected to one another by any means other than their respective circumstance. These cases were predominantly focused on understanding a particular stereotype of actors in one part of the trafficking process. This primarily involved interviewing a collection of individuals who were either participants, victim or combatants of trafficking crimes. These individuals were not connected to one another in any form of network or business but were identified as part of a collective such as 'female victims of human trafficking' or 'incarcerated Nigerian poachers' or 'USA border patrol agents'. Articles with the 'group' classification therefore reported findings on a specific collective of individuals and drew conclusions about experiences or characteristics of that group.

The ‘network’ group classification was used to describe research that presented findings on cases with at least one interconnection between people or things. This primarily constituted reporting on specific cases of a trafficking operation that occurred either nationally or internationally. These networks were too small to be representative of the entire industry but were often researched as a means of informing law enforcement or law and policy by identifying points of strategic weakness in a regions with a specific case of trafficking. Examples of network classifications include ‘Tran-Siberian poaching rings’, ‘central American drug traffickers’ or ‘West-African weapons traffickers’. These are country specific cases of one particular network and therefore not representative of the entire industry. Finally, the ‘industry’ classification was used to describe articles that presented findings on broader trafficking cases. These analysed trafficking from a non-specific perspective and attempted to draw conclusions that were applicable to the greatest majority of trafficking cases. The majority of academic scholarship falls into this category as it is less focused on informing law and policy and more focused on broadening an understanding of the general phenomenon. Table 8 shows the breakdown of article classifications regarding their subject of interest.

*Article Classifications Based on Subject of Interest*

	Human	Drugs	Weapons	Wildlife	TOTAL
<i>Industry</i>	12	9	5	8	<b>34</b>
<i>Network</i>	4	10	2	7	<b>23</b>
<i>Group</i>	1	5	0	0	<b>6</b>

*Table 8: Numbers of Article Classifications Based on Subject of Interest.*

From the 63 papers reviewed in this study, the subject of interest was primarily industry based with 34 cases of research on the broad trafficking industry. There were 23 cases of research on specific demographic, geographic or regional networks and only 6 cases of research with a group specific focus. Industry specific research was also the primary subject of interest for all but drugs trafficking which has a heavier research base, all be it by a narrow

margin, of the network classification. Drug trafficking literature was much more predominantly researched with a specific network, gang or organisation as the focal topic of research with 10 out of 24 total articles. This was almost half of the total articles in the network classification when combined with the other subcategories (10/23). Drug trafficking also had the highest number of 'group' specific research suggesting that there are differences in the way drug trafficking is viewed or researched compared to other subcategories of trafficking. This could be because there is substantially more variation in drug trafficking practices compared to other industries (Bagley, 2012) therefore less scope for industry specific research. Or it could suggest that drug trafficking is of such high priority (Killias & Ribeaud, 1999) to governments that research which informs law enforcement or law and policy is strongly encouraged. We can also conclude from these findings that human trafficking had the most overwhelming priority of industry specific research. This could be explained by the fact that it is harder to research specific cases of human trafficking due to data access (Weitzer, 2014). By this it is intended to highlight the difficulty of extracting data on the experiences of victims due to an unwillingness to discuss their experiences (Southwell et al., 2018) as well as the relative difficulty of infiltrating a human trafficking ring to access first hand research (Adamoli et al., 1998). This means researchers may be limited to making generalised claims about the wider industry as opposed to analysing specific cases. This could go some way to explaining the patterns we seen in the various subject of interest categories in trafficking literature.

#### 4.1.7. Research Methods

This section reviews the research methods employed by researchers to determine whether patterns emerge in the use of methodology and identify whether there are any strengths or limitations able to be drawn from the body of evidence in this review. The identification of a research method was not always a simple process. In research examples that were published in non-academic sources, an in-depth discussion of methodologies was not common. For this reason some interpretation was required to determine how data was gathered and used to draw conclusions. In a number of cases the supervisory team or review panel had to be consulted in order to ensure consistency. It was also determined that pre-defined categories were not appropriate as in some cases researchers used more than one

method or used a unique means of gathering their data. It must also be noted that in some cases more than one means of research was used by researchers.

From the 63 articles identified in this review, there was a total of 11 different methodologies used. These can be seen in Table 9. The most commonly employed methodology for conducting research was an analysis of case studies (20 instances). Narrowing this further, the primary type of case study used were court cases of prosecutions of traffickers who had been caught. This can be seen as a limitation to this study based on the fact that those cases were of traffickers who were caught. In cases where research is designed to reveal distinct, traceable patterns in criminal activity, basing results on patterns of unsuccessful traffickers may impact the relevance of research findings (Kyburz-Graber, 2004). While accessibility is much simpler than research means such as observation or ethnography, cases of traffickers who failed to evade capture may not best represent the broader population of traffickers.

#### *Research Methods Employed*

Method Used	Human	Drugs	Weapons	Wildlife	Total
<i>Case Study</i>	3	10	3	4	<b>20</b>
<i>Review</i>	3	6	2	4	<b>15</b>
<i>System/Model Development</i>	3	3	2	3	<b>11</b>
<i>Interview</i>	6	3	-	1	<b>10</b>
<i>Observation</i>	2	2	-	4	<b>8</b>
<i>Policy Research</i>	4	-	-	-	<b>4</b>
<i>Ethnography</i>	1	2	-	-	<b>3</b>
<i>Social Network Analysis</i>	-	3	-	-	<b>3</b>
<i>Chemical Profiling</i>	-	1	-	1	<b>2</b>
<i>Mobile Phone Data</i>	-	-	-	1	<b>1</b>
<i>Survey</i>	-	-	-	1	<b>1</b>

*Table 9: Breakdown of Research Methods Employed by Subcategory of Trafficking*

It is clear from the findings of this particular article characteristic that different research methods are employed by researchers depending on the commodity in question

being trafficked. Of the four subcategories for trafficking, the only category that did not share case-study as its top ranked method was human trafficking, relying instead on interviews as their primary research method. This is almost certainly due to the ability of researchers to interview victims of human trafficking; a means not available to researchers of drugs, weapons or wildlife trafficking. These victims constitute individuals who witnessed and experienced trafficking first hand, although questions have been raised regarding their willingness to share their experiences due to a combination of fear and shame (Southwell et al., 2018). Also in the case of human trafficking was the emphasis placed on law and policy research. This method was ranked sixth of the 11 methods used with four instances, despite only being present in the human trafficking subcategory. This shows a heavier reliance or interest in law and policy with regard to human trafficking than the other subcategories. It could be suggested that this is due in part to the fact that human trafficking represents an extreme breach of human rights (Southwell et al., 2018). Law and policy regarding the prioritisation and safety of humans may therefore be seen as higher importance to researchers than in cases of other trafficking subcategories.

## 4.2. Management Theory

The following section is divided into the ten sub-categories of management for which this report is based. It is the author's intention to highlight the key activities discussed in literature on trafficking organisations to fulfil research objective one and determine the extent to which core management theories, concepts and frameworks help to explain the business activities and managerial behaviour utilised by trafficking organisations.

A list of ten current practices was obtained from the Academy of Management (2018) which accurately characterises *management theory*. These management disciplines were used as criteria when collecting data from the articles included in this review. The following sections use these disciplines as a means to describe the data extracted from articles regarding the business activities and managerial behaviours utilised by trafficking organisations. There was some degree of overlap between categories. For example, technology is discussed within the context of communication, operations and innovation management. Therefore, while predominantly discussed in its own relevant category, Technology and Innovation, subjects with significant overlap are also discussed within the context of other relevant subject matter.

### 4.2.1. Communications and Information Systems

This section relates to behavioural, financial and social aspects of the communication that occurs within and between various trafficking organisations. This includes but is not limited to examples of verbal, nonverbal, and electronic communication; vertical, horizontal and diagonal communication; inter-group and intra-group communication; communication networks; and Organisational networks (AOM, 2018).

Communication and information sharing are integral to ensuring a criminal network remains both effective and undetected. These networks are often transnational, spanning origin, transit and destination countries (Chandra & Joba, 2015). One of the most distinct differences between traditional formal sector communication and those of criminal businesses, is the importance placed on security. According to Hofmann and Gallupe (2015) security overrides the importance of efficiency in criminal business. The need to remain undetected from law enforcement agents and governing bodies is generally greater than the

need to be efficient, even at the expense of profitability. For this reason, it is common for trafficking operations of all types to cooperate as a series of decentralised groups forming trade and communication networks (Arsovska & Kostakos, 2008; Friesendorf, 2007; Hofmann & Gallupe, 2015; Kenney, 2007; Le & Lauchs, 2013; Sullivan, 2002). A decentralised structure is described in management literature as being non-hierarchical and conducive to information exchange and communication (Rulke & Galaskiewicz, 2000). It offers a flat command structure where decision making and power is dispersed amongst members in the network which contributes greatly to organisational resilience by allowing for adaptability (Tzvetkova, Pardal, Disley, Rena, Talic, & Forberger, 2016). Due to this, criminal networks are very flexible and difficult to target as there is not one single individual whose power or knowledge is irreplaceable (Hofmann & Gallupe, 2015). This is a trait said to be shared by multiple types of trafficking industries, and is not independent to any one market (Baarda, 2016). If law enforcement were to successfully remove one individual or group from the network, the loss of knowledge, resource capacity or power of that person or group is easily overcome due to the diffusion of responsibility. Therefore, criminal networks can ensure security and overcome this type of adversity due to the way information is shared and communicated as well as the way power is dispersed throughout the network. If these networks were hierarchical, the removal of a key individual within whom the majority of power and decision making responsibility lay, the impact on the network would be significantly greater.

One contrasting point to this is that of large scale mafia-type organisations initially addressed in the literature review. There was limited empirical evidence on these types of organisations in this review but some anecdotal evidence suggested large scale criminal organisations such as the Chinese Triads, Japanese Yakuza or La Familia Michoacana in Mexico operate using a hierarchical structure more commonly found in traditional business (Kostelnik & Skarbek, 2013; Tzvetkova et al., 2016). If this is true, their operations will be far less flexible and less able to adapt to adversity due to communication lines and power being heavily invested in one individual or a small group of individuals. While hierarchical structures allow for clear lines of authority (Montilva & Barrios, 2004) the identification of the ‘Kingpin’ or ‘Queenpin’ (leader) and then successful removal of the individual is all it takes to severely disrupt communication lines and information sharing, potentially halting the operation entirely. This would suggest that organisations with a formal hierarchy, lack the required

capacity to disperse information and power through a network enough to remain flexible, adaptive and secure.

This understanding of criminal communication exchange suggests that there are vast differences between the way formal, hierarchical businesses run and the way trafficking organisations work. Formal organisations are continually striving to adapt and manage changing factors in their business environment to assure they remain competitive. This notion of survivability is almost comparable to the idea of security that trafficking organisations place such a heavy importance on. For example, in disaster management situations, having both information and power widely dispersed throughout an organisation may afford adaptive qualities that increase survivability for formal organisations the same way it affords security to criminal operations. Having too much power or information invested in one person does not afford the same adaptability and could severely impact the company should that person be removed. The theoretical understanding of how criminal industries maximise their adaptability therefore adds value to the traditional understanding of structuring information flow and communication exchange through a company.

#### 4.2.2. Conflict Management

This section addresses the nature of conflict that arises from processes at various organisational levels, be it individual, group, organisational, inter-organisation or societal. This includes but is not limited to instances of team and cultural relations; collaboration, competition or co-opetition; power, influence and persuasion; labour relations, workplace disputes and diversity; as well as community, legal and policy conflict (AOM, 2018).

Conflict prevention, conflict management and post-conflict re-construction are all evident in the operations of trafficking organisations in order to ensure positive group performance and organisational effectiveness (De Dreu, Evers, Beersma, Kluwer, & Nauta, 2001; Friesendorf, 2007). In many cases, conflict which occurs in the examples of this study are at an organisational level, where traffickers have territory disputes between one another or disputes with law-enforcement agencies. There is also evidence of intra-organisational disputes caused by power dynamics and corruption within organisations. In academic literature, De Dreu et al. (2001) discuss *dual concern theory*, in which conflict management is described as a function of low or high concern for self, in combination with low or high



concern for others. This theory will be used to describe the conflict management approaches used by managers in trafficking organisations.

From the body of evidence analysed in this review, there are examples of conflict prevention strategies in all sub-categories of the trafficking industry. These strategies do not differ so much between industries, but are more correlated to the size of the organisation in question. For example, larger scale trafficking organisations utilise the paying off of corrupt politicians or government agents to both avoid external conflict and make it disappear when it occurs (Boivin, 2014). There are a number of examples that highlight the willingness of trafficking organisations to resort to violence as a means of controlling inter-organisational conflict (Warchol & Harrington, 2016). Similarly, many large operations utilise the threat of violence as a control mechanism in order to both prevent and manage internal and external conflict as well as ensure internal cooperation and group performance (Hofmann & Gallupe, 2015; Kostelnik & Skarbek, 2013). It is important to note that, with particularly reference to large scale drug, weapons and wildlife trafficking groups, it is the perceived capacity for violence, not genuine acts of violence that creates fear as the key means of controlling organisational conflict (Hofmann & Gallupe, 2015). In an industry that operates with such high disregard for the law, professional trust and loyalty is not always enough to prevent and manage conflict. Hofmann and Gallupe (2015) also discuss the importance of recognising when to employ violence as what can be interpreted as post-conflict re-construction strategies for internal conflict. This usually involves the follow through of threats to punish individuals who were deemed responsible for the conflict in question (Kostelnik & Skarbek, 2013). This punishment is used as a means to regain balance and as a means of discouraging further conflict, allowing for group performance and organisational effectiveness to continue. Knowing when to carry out threats of violence is key to establishing the atmosphere of fear which is often a necessity for maintaining order in a criminal industry.

Within the body of human trafficking literature, there is very little empirical evidence of conflict management practices. There is anecdotal evidence to suggest that conflict between trafficked women who work together often occurs and is encouraged by traffickers (Petrinov, 2011). This is to ensure no solidarity or trust occurs between the victims and forces an atmosphere of deceit and suspicion to prevent them from cheating traffickers out of money but primarily to keep victims under control and limit any form of conflict or rebellion.

There are cases where women forced into sex would wrongfully report the number of clients they saw each day, and secretly stash money for themselves (Petrunov, 2011). Stealing and other forms of inter-organisational conflict is managed primarily through this atmosphere of suspicion but also by other means of control. One of these is the imposition of fixed earnings, where women are forced to continue engaging in sexual activities until they met a fixed sum for that day. This discourages victims from keeping money to themselves because the sooner they meet their targets the sooner they can stop, hence minimising the risk of conflict occurring. In situations where victims are caught, they often are punished through physical violence and financial fines. In terms of De Dreu et al. (2001) and their Dual Concern Theory, this type of management strategy can only be placed as high concern for self and extremely low concern for others. The authors termed this management strategy as forcing or imposing one's will on others, which while true, denotes a severe understatement of the actions carried out by traffickers. De Dreu et al. (2001) cannot have taken into account the physical abuse and torture, present in the criminal industry, on their scale which limits the application of the dual concern theory on criminal conflict management theory. This is one example of management theory that does not apply as effectively to a criminal context as it does to a formal one. Evidence suggests that the manner of conflict that presents criminal organisations is on a far more extreme scale than that of formal organisations. This implies that the breadth of application that conflict management theory has is too narrow to effectively explain the manner in which traffickers manage conflict.

#### 4.2.3. Entrepreneurship

This section relates to “the actors, actions, resources, environmental influences and outcomes associated with the emergence of entrepreneurial opportunities and/or new economic activities in multiple organisational contexts, and the characteristics, actions, and challenges of owner-managers and their businesses” (AOM, 2018, para. 4).

In terms of entrepreneurial theory, trafficking literature is most commonly researched from a motivation perspective. That is, the motives, environmental factors and opportunities that facilitate criminal enterprise. In a study assessing entrepreneurial motive, Hessels, Van Gelderen and Thurik (2008) suggest there are three key types of motivations for entrepreneurial start-ups; the independence motive, the increase-wealth motive, and the

necessity motive. The independence motive describes freedom related goals such as enabling a lifestyle through which you can work for yourself and achieve one's own goals. The increase-wealth motive, is motivation solely driven by the opportunity for economic growth. Thirdly, necessity driven motives refer to situations where the threat of un-employment forces individuals to self-employ. In the case of most trafficking organisations, a mix of motivations can be found with the proportions of each based primarily on environmental and situational factors.

In many cases of trafficking literature, examples of necessity and opportunity based entrepreneurship are high. Opportunities in entrepreneurial literature refer to "aspects of the environment viewed from a certain perspective" (Shane, Locke, & Collins, 2003, p. 262). In the case of wildlife trafficking, traffickers view wildlife as an opportunity for financial gain and survival as opposed to a protected species in need of conservation. Ayling (2013) and Kideghesho (2016) have claimed that developing countries foster environments conducive to criminal entrepreneurship due to poor governance, high levels of corruption and inadequate support for local communities. Individuals living in these underprivileged communities are presented with the opportunity to survive through the means of the trade in illicit commodities; a highly profitable and comparatively low-risk industry due to the corruption and low levels of governance in their respective countries. In contrast, legitimate employment can be extremely difficult to find and those that do work in legitimate employment earn only a small percentage of what is possible through criminal enterprise. This is a primary example of what Hessels et al. (2008) describe as necessity driven entrepreneurship. Developing countries tend to have limited knowledge, resource or technology capacities when compared to more developed countries meaning their motivation for entrepreneurial pursuit is rarely independence motivators such a sense of freedom or personal achievement. Regrettably, criminal entrepreneurship, is largely the result of necessity driven motives such as the need to survive and the lack of an alternative means to achieving this than crime. Conversely, Adom and Williams (2012) found that the majority of informal sector entrepreneurs were motivated by a drive to achieve freedom and self-fulfilment, similar to a formal sector entrepreneur. This is curious as the circumstances in which both criminal and informal entrepreneurs exist are similar (Ayling, 2013; Darbi & Knott 2016). As previously discussed, informal sector research revealed that cultural capital, or the social obligation and reciprocity that stems from

communities depending on one another for survival, was a significant motivator for operating in the informal sector (Darbi & Knott, 2016). Similarly their acknowledgment of reverence and an ability to adhere to social norms within a community or social grouping was also of high importance (Bourdieu, 1986; Darbi & Knott, 2016). This suggests that personal identity and social class play important roles in motivating informal entrepreneurship which is far less evident on reporting of outright criminal entrepreneurship. This may mean that while entrepreneurs in both informal and criminal sectors operate in similar environmental settings, there is something intrinsic and morally motivated that differentiates informal from criminal entrepreneurs. There is insufficient evidence to be conclusive of this point but research suggests that when the level of necessity is similar, some individuals chose to operate only marginally outside of the law to conform with social norms as opposed to resort to stigmatised work in the criminal industry.

Within the independent body of literature on human trafficking, Kara (2009) states that while drug trafficking generates a greater dollar revenue worldwide, human trafficking is more profitable when looking simply at the commodity in question. Kara (2009) goes on to suggest that unlike drugs, human commodities can be sold multiple times to multiple customers without the need for cultivation, production, or packaging. This makes it relatively low risk and a low investment for trafficking operations to start-up. Sex trafficking for example, only requires one vulnerable victim to prostitute and enough money to rent or purchase a location for which to host customers (Burke, 2017). In his book, *Sex Trafficking: Inside the Business of Modern Slavery*, Kara (2009) presented a summary of findings titled *Contemporary Slavery Economics*. These finding break down the various revenues, unit prices, variable costs and fixed costs per slave to determine an annual net profit. These findings concluded that in the United States one sex slave working in a brothel can generate approximately USD \$2100 per week, with operating expenses including rent, drugs, tips, security, marketing, food, makeup, medical costs, and miscellaneous totalling approximately USD \$630 per week. This means that with a fixed acquisition cost of around USD \$3000, one slave will break even within three weeks of purchase and earn their owner approximately USD \$75,000 net profit per year. The average apartment brothel in New York has eight slaves (Kara, 2009), this means the owner of the brothel can earn an annual net profit of approximately USD \$600,000 per year. A net profit margin percentage of around 70% per

slave is consistent throughout both developed and developing countries globally (Kara, 2009). This is why many people in desperate circumstances chose to resort to human trafficking out of desperation. Roe-Sepowitz, Gallagher, Risinger and Hickle (2015) discuss how individuals will exploit a position of authority such as family or caregiver relationships in small impoverished communities in order to traffic those they are responsible for. This rarely requires an initial acquisition investment making it a simple and profitable alternative to poverty. In cases such as this, the desperation inflicted by poverty drives fathers, brothers, mothers and other extended family members or caregivers to engage in the exploitation of others in order to survive. This type of necessity driven entrepreneurship is due to the ease with which human commodities can be exploited for profit in comparison to other illicit commodities.

#### 4.2.4. Human Resources

This section looks at how trafficking organisations invest in human resource practices to improve the effectiveness of their business. More precisely, how they utilise the people who operate their organisation as resources to their operation. This section primarily includes an analysis of topics such as the recruitment, selection and retention of employees as well as how they utilise, develop, evaluate and compensate those individuals (AOM, 2018). In cases of human trafficking, this does not include those individuals who are being trafficked. This section also looks at how human resource practices on an organisational level, impact those outcomes deemed critical to the successful running of the organisation.

Recruitment of individuals to criminal organisations is unfortunately a relatively simple job. As stated earlier, much crime finds its roots in poverty (Kara, 2009; Ryan & Hall, 2001). Therefore, in impoverished countries where opportunities are low, the barriers to entering the criminal industry are also low, and the financial reward is high, so it is not a challenge to recruit individuals. In many countries, indigenous tribes still exist by maintaining a culture of hunting game and whose local skills and knowledge make them ideal candidates for poaching recruitment. This will be discussed further in the following section with respect to cultural dynamics. In their report on airborne arms trafficking in Africa, Thachuk and Saunders, (2014) shed light on the importance placed on flight personnel to the daily operation of their business. Thachuk and Saunders, (2014) state that the successful running

of operations is heavily based on one individual's ability to navigate the isolated parts of Africa with regard to geography, topography, treacherous runway conditions and a number of technological and communication challenges. The experience and high degree of skill required for this job is extremely sought after by both drug and weapons traffickers on the African continent and is a primary example of human resource management in the industry. Following the collapse of the Soviet Union, a large number of air crewman including pilots and navigators found themselves with experience and expertise flying in the region but nowhere to apply their skills (Thachuk & Saunders, 2014). Russian weapons trafficking gangs operating in Africa identified these individuals through online forums for pilots seeking work and were able to offer them significantly higher compensation for their expertise than any legal operations. This is an exception to the conclusions drawn throughout this thesis on the effectiveness for targeting individuals as a point of weakness in a trafficking operation. Due to the general lack of a formal hierarchy in many trafficking groups, it is difficult to identify any one person whose removal from the operation will have a significant negative impact on the operation. However this claim only took into account those individuals whose informational knowledge or leadership characteristics were essential to a trafficking group. This application of Human Resource theory suggests that there are individuals in the network whose specific skill set may be imperative to effectively trafficking illicit commodities. This suggests that instead of efforts to identify leaders, resources could be reallocated to identify those highly skilled in areas of the supply chain. This could include specialist pilots or navigators as above or travel document forgers, chemists or drug manufacturers. These skills are in high demand and while their removal will only impact the operation short term as the supply of many of these skills has been demonstrated to be sufficient, they may prove to be potential points of weakness to the operation.

#### 4.2.5. International Business

International Business pertains to the theory and practice of cross-border management. This is highly relevant to trafficking as an industry as so much of their business is reliant on tapping into the markets of overseas buyers and the cultivation or recruitment of commodities from other countries. This section will primarily address topics such as international strategy formulation, competition and cooperation and various social, political

technological and institutional forces that impact cross-border management practices (AOM, 2018).

In a study analysing the security of Africa's wildlife population, Kalron (2013) discussed his experience with cross-border cooperation strategies relating to the illegal trade of wildlife. Kalron (2013) found that poaching gangs operated using a series of tribal relations and historic trade routes as a means of creating a regional assistance network. These networks were connected to equivalent overseas networks so that a poaching gang in one country could call on a counterpart from a neighbouring country to utilise their network in order to facilitate their respective business activities (Kalron, 2013). These networks represent a highly complex and well-coordinated combination of intelligence gathering and information sharing so that the cultivation, capture, trade, production and sale of wildlife and wildlife derivatives can occur within origin, transit and destination countries. This is but one example of the management that occurs at an international level to facilitate the trade of illicit commodities across borders.

Within international management literature, the facilitation of effective trade relationships that bridge a number of ethnicities and cultures (Au, 1999), and the influence intra-organisational culture has on strategic success, are of high importance (Kobernyuk, Stiles & Ellson, 2014). It has been established that trafficking of illicit commodities constitutes the crossing of various international borders. There is therefore scope for understanding the emphasis placed on managing the cross cultural fit for network partners in the trafficking supply chain and the effect organisational culture has on operations. Mono-ethnic groups such as the Italian Mafia, Japanese Yakuza or Chinese Triads typically maintained their own set of values, principals and organisational cultures evident throughout their operation (Le & Lauchs, 2013). Kostelnik and Skarbek, (2013) discuss evidence of intensive induction processes for the *La Familia Michoacana*, a large drug cartel operating out of Mexico. This process included instilling a strong sense of loyalty and commitment to the operation through a six to eight week education program. This breeds a culture that spreads through members to their extended family and right through their operational networks. Within management literature this type of culture is defined as a set of assumptions that influence how members think, perceive and act regarding organisational issues and matters of integration (Kobernyuk, et al., 2014). This suggests that the intensive induction process enforced by La Familia

Michoacana, is in fact a strategic means to subtly influence the actions of members by instilling the same beliefs, behaviours and values into all inductees. This ensures the values of the organisation are present throughout all members. In cases of trafficking operations that are more informal and demonstrate a less structured organisation, culture is viewed somewhat differently. According to Le and Lauchs (2013) there is rise in multi-ethnic partnerships in organised crime which could be attributed to globalisation and the growing ease of international trade. Within the illegal trade of wildlife, there are examples of various ethnicities and cultures cooperating in their activities (Roe et al., 2017). Culture is still viewed as a determinant of strategic success, but not in the same way as evident in large scale trafficking organisations described above. Instead, culture is sought within strategic partners to minimise conflict and ensure effective cooperation as opposed to instilling it in members as an induction process. This can be seen in examples of foreign traffickers recruiting from indigenous communities in India, Cambodia, Sumatra and Africa whose local knowledge and skills are crucial to the operation (Moyle, 2009). Examples of international connectedness then occurs as these skill sets are highly transferrable. For example, the hunting of tigers is a skill learned by various indigenous Asian tribes with a hunting culture such as the Bawariya and Behliya of India or the Sansar Chand and Yor Ngun of Cambodia (Moyle, 2009). The skills learned by these indigenous hunters make them good candidates for poachers as their skills are similar to those required to the illegal hunting of big cats in Africa. Culture in these circumstances is therefore viewed as a strategic characteristic based on the fact that identifiable communities maintain a culture that produces individuals with the skills and knowledge required for illegal wildlife trade.

This understanding of cultural fit and organisational culture within a criminal setting is both similar and dissimilar to formal sector literature. The awareness of culture as a strategic tool is clearly apparent as is the need to identify a strategic 'best fit' for international partners and alliances. This allows for maximisation of compatibility in a cooperative setting. There are however distinct differences in the *application* of these theories into practice between criminal and formal business. There is therefore clear justification for suggesting that the concepts and theories of international management are largely applicable to the trafficking industry as they help understand the means and purpose behind their actions.



#### 4.2.6. Operations and Supply Chain Management

This section describes the way trafficking organisations manage the conversion processes that create their respective products or services. This includes topics included but not limited to operational strategy, product development, supply chain management, service development, quality management, project management and various issues that face the day to day operation of business processes (AOM, 2018).

The supply chain for illicit commodities is both basic in its simplest form and complex due to the extensive methods employed between different groups, industries and countries. As previously described in section 4.2.1, trafficking organisations utilise an extensive network of decentralised criminal groups, each responsible for different parts of the process. A selection of groups are therefore responsible for each of the three key stages of trafficking: acquisition, transportation and distribution. For example, groups in Afghanistan and Myanmar may be responsible for the cultivation of opium which is then sold to groups who transport the product globally. In destination countries, criminal groups are responsible for the manufacturing of heroin or other opium derived narcotics before a network of distributors sell the products to consumers. This complex network is applicable to almost all industries that traffic illicit commodities, relying on their loosely structured network of groups to securely acquire, transport and distribute human, drug, weapon and wildlife commodities across the world.

The supply chain for human trafficking is somewhat different to that of drugs, weapons and wildlife trafficking due to the nature of trafficking humans as commodities. There are examples of small scale trafficking rings who carry out all aspects of the supply chain on their own, however, this section focuses primarily on the large scale supply network of human trafficking victims. Baarda (2016), describes the four key stages in the transnational supply chain of human trafficking. In chronological order they are the recruitment, transit, exploitation and post-exploitation phases. The post-exploitation phase is one added by Baarda (2016) to what researchers commonly understand as the human trafficking supply chain. The authors refer to a loop where victims become offenders or sex workers become 'madams' and recruit and coerce their own victims as a means to more income, rather than

or in addition to working in the industry themselves. This exploitation of trust from one woman to another will be addressed further in section 4.2.8.

The recruitment stage of the supply chain can be carried out through various acts. This can include acts such as kidnapping, deceit and abduction as well as lower profile means such as sale from family (Demir, 2010) or recruitment by former slaves (Baarda, 2016; Kara, 2009). These acts also utilise a particular means of control or exploitation of a particular vulnerability that allows traffickers to both recruit and control victims (Southwell et al., 2018). One example of an extreme case is the use of voodoo or spiritual coercion by a priest or holy man in an African community (Baarda, 2016). Priests are in a position where the religion of the community dictates that the priest interprets the will of their god, enabling manipulation of the spiritual vulnerability of victims allowing them to be coerced into human trafficking.

The next step in the supply chain refers to transportation and transport of victims. As described before, trafficking networks operate as a series of decentralised groups loosely connected to ensure security and flexibility (Arsovska & Kostakos, 2008; Friesendorf, 2007; Hofmann & Gallupe, 2015; Kenney, 2007; Le & Lauchs, 2013). In all cases of trafficking, there is evidence of compartmentalisation or silos in these networks meaning that a group may be responsible for only one activity in the supply chain (Hofmann & Gallupe, 2015). There can be many groups responsible for the same activity such as recruitment but each group's primary focus will only be one part of the supply chain. When a recruitment group has a victim, the individual will be given to another group in the trafficking network whose primary activity will be the transportation and distribution of victims. The methods of transportation vary significantly as trafficking can either occur within or across borders, therefore, examples of air, land and sea travel are all present (Demir, 2010). Where trafficking occurs through transit countries, groups in the supply chain take responsibility for the acquisition of fake passports or travel documentation to ensure the safe passage of victims across borders. Leman and Janssens (2007), discuss the importance of intermediary 'safe houses' and their role in temporarily housing victims in transit countries. These houses offer a means of isolating, controlling and removing victims from the outside world while traffickers plan the next phase of the journey (Leman & Janssens, 2007). Corruption is also a common means employed during the transport phase with unethical government or law enforcement agents helping to ensure the safe passage of victims for a cut of the profit (Demir, 2010). In addition, in

countries where the border stretches to isolated areas, victims can be taken across known routes controlled by trafficking groups without the need for documentation (Demir, 2010).

The third stage of the supply chain is exploitation. Individuals who have been trafficked are distributed to all manner of exploitative purpose including hospitality, health care, labour and sex work, organ donation and even militant groups (Demir, 2010; Friesendorf, 2007). Within the supply chain, there is typically a middleperson based in destination countries who distributes victims based on demand. In these circumstances victims are required to pay off a debt before they can be released, but often these debts are so high that they can never be repaid. In situations where a debt is successfully repaid, victims are often transferred to another trafficker or forced to become recruiters or 'madams' and a new debt is established. This is where the post exploitation phase of the supply chain is evident. For most victims, their bond to those trafficking them only ends if they escape, are set free or perish due to the conditions. Those who do manage to escape or are set free without any rehabilitation have been known to feel stigmatised and unable to return to their home, so voluntarily re-enter the sex industry for lack of knowing how else to survive in society.

Many of the articles in in this review described activities that relate to the cultivation, transportation and distribution of commodities. These activities can all be understood further through an application of operation and supply chain theory as the concepts involved help to explain the meaning and purpose behind such actions. By explaining these actions more effectively a new understanding can be adopted and used to help combat the practices. This justifies the application of operation and supply chain management theory to the context of trafficking illicit commodities.

#### 4.2.7. Organisational Behaviour and Theory

This section relates to the understanding of individuals and groups within an organisational context (AOM, 2018). Specifically, this section will address group and team characteristics such as resilience, behaviour, values, size, diversity and motivation, as well as various organisational practices such as leadership, goal setting, turnover and communication (AOM, 2018). This section will also explore examples of links between theory and practice, also known as organisational theory. Organisational or management theory is concerned with

devising and testing theory relating to an organisations people, practices and processes (AOM, 2018).

Organisations across the formal-criminal spectrum must strive to remain competitive in constantly changing and uncertain environments. As a result, Burnard and Bhamra (2011) state that disruptions to the business environment threatens the viability of an organisation and that organisational resilience is one way of protecting the firm. Resilience is a theoretical framework used to describe an organisations capacity to adapt to and respond to adversity (Lengnick-Hall, C., Beck & Lengnick-Hall, M., 2011). In criminal organisations, this resilience is vital as not only do you have to remain resilient to changing economic, social and environmental conditions, but also from authorities and governing bodies due to operating outside the law (Ayling, 2013). Resilience in criminal business is therefore described by an organisation's capacity to adapt, absorb and withstand disruption from both legal and illegal forces.

In this review, one encompassing view of resilience across all forms of trafficking is the recognition of adaptiveness as an essential capacity for criminal business. This is why many organisations operate using a decentralised network as discussed previously. Decentralisation offers a flat command structure which promotes resilience by increasing an organisations ability to both protect leaders and adapt if one is compromised (Baarda, 2016; Hofmann & Gallupe, 2015). The adoption of new supply routes or altering of communication networks due to law enforcement presence represents an environmental factor requiring the need to adapt (Ayling, 2013). Similarly, implementation of an entirely new means of operation due to law and policy changes constitutes a change to the legal conditions requiring adaptation (Kenney, 2007). Responding to the demand for specific illicit commodities and moving to an alternative market represents both adapting to both new financial conditions such as changing markets and an awareness of the changes to social conditions such as changing demand (Ayling, 2013). In their study of airborne arms trafficking in Africa, Thachuk & Saunders (2014) stated that "only the most nimble and adaptable criminals who are willing to alter routes, change cargos, and swap out communications and transportation methods will survive in the long term" (Thachuk & Saunders, 2014, p. 363).

The final key theme of literature in this review that can be explained with Organisational Behaviour theory is aspects of organisational culture. As previously discussed in previous sections, there are examples of large scale trafficking organisations who utilise formal education programs in order to ensure new members are instilled with beliefs, values and ideas that are representative of the wider organisation (Kostelnik & Skarbek, 2013). From the perspective of OB literature, organisational culture is seen as a determinant of organisational performance and effectiveness as well as predictors of job satisfaction and organisational commitment (Lok & Crawford, 2004). These factors are all of extreme importance for trafficking organisations. Kostelnik and Skarbek (2013) describe methods used by La Familia Michoacana to build organisational culture. The authors explain that beyond the initial induction process, the organisation supports and cleanses recruits with substance addiction, vows to protect not only members but their extended family, gives youth in poverty the opportunity to be a part of something they feel is important as well as provide means of money, power and reputation. These factors are all part of a means by which this criminal organisation creates a culture that instils loyalty, commitment and pride in its members. There is evidence that these factors improve organisational performance in formal sector business which means it is likely they have the same benefit in criminal one. This clearly suggests that there are theories and concepts of organisational behaviour that explain both the purpose of and motivation behind the actions of individuals within trafficking organisations.

#### 4.2.8. Gender and Diversity

This section looks at the influence of particular groups within an organisation in regard to the culture, structure and processes of an organisation. These groups include gender predominantly, as well as race, class and other institutionalised minority groups (AOM, 2018). This section will specifically look at the role of women in trafficking organisations and the experiences that members of ethnic, class and gender groupings have, in regard to marginalisation, equality and barriers as part of a trafficking organisation.

One of the more interesting findings of literature on this topic was the emphasis of gender with regard to organisational structure, processes and practices. This was not anticipated as being a key finding, but there was a significant amount of reporting on various

demographics within gangs or trafficking groups and the effect those demographic differences have on operations. For instance, in a study conducted on drug trafficking groups in China, Li and Liu (2017) found that greater gender diversity often leads to lower degrees of hierarchical or vertical organisational structure. The authors also concluded that the average drug trafficking group operated with an approximate ratio of 6.5:1, men to women. Le and Lauchs (2013) suggest that women are often utilised for strategic reasons. The authors suggest that certain characteristics of women make them somewhat lower risk for roles in a drug smuggling network that are considered expendable. Le and Lauchs (2013) found that women are often used as couriers, or the individual physically carrying drugs into countries or across state borders, a role considered a minor link to drug distribution networks. In a case seeking to study the architecture of drug trafficking networks in Colombia, Kenney (2007) found evidence of a female leader in a large scale vertically structured drug trafficking operation. This woman was responsible for overseeing the entire operation and providing managerial assistance having had previous trafficking experience in the United States (Kenney, 2007). This finding is contrary to the conclusions of Le and Lauchs (2013) and Li and Liu (2017), with regard to both the role of women and the likelihood of a vertical organisational structure. The authors of each of these articles did their respective research on drug trafficking groups in Asia, while Kenney (2007) conducted his research in South America. This suggests that a cultural difference may exist between the two continents with regard to the role of women in the drug trafficking industry. There is no empirical data within the articles included in this review to draw accurate conclusions regarding organisational barriers for women in the drug trafficking industry. However, the differences in these articles could suggest that the levels of marginalisation and inequality are greater in Asia compared to South America, hence creating barriers and leading to higher instances of women in minor roles as opposed to leadership or management positions.

In other trafficking industries, there are examples of women filling the roll of cultivators, cooks or drug mules in Sub-Saharan Africa's drug trade (Hübschle, 2014). Drug trafficking and cultivation is prevalent in parts of Africa where the local distribution of cannabis is often a family trade where women are expected to take on a roll in the business (Kenney, 2007). Similarly, there are cases of women who operate in opportunistic poaching or wildlife harvesting industries also as part of the local community. Hübschle (2014, p. 46),

found examples of women in the business of trafficking wildlife filled rolls such as “professional hunters, drivers, safari operators, helicopter pilots, veterinarians, game rangers, smugglers, corrupt gate-keepers including law enforcement, customs and nature conservations officials and money launderers.” This suggests that while crime is still a heavily male dominated industry, there are instances of women filling a variety of roles in trafficking businesses.

It is perhaps one of the more disturbing findings to have come across in this research, but the role of women in the human trafficking industry was greatly surprising to the author when analysing the data for this report. It is common to assume that women are primarily portrayed as the victims in cases of human trafficking, but there is a growing body of literature researching the active roles women have in all aspects of human trafficking organisations. These roles stem from family members who facilitate the recruitment of their relatives, to recruiters, pimps and ‘madams’ who coerce and control other women (Hübschle, 2014; Roe-Sepowitz et al., 2015). Hübschle (2014) shows how women are used to recruit other women into human trafficking operations using trust as the primary means of control. Those responsible for the care and control of human trafficking victims often do so through a complex means of control involving both physical violence and an intimate and emotional relationship with the victims (Roe-Sepowitz et al., 2015). Human trafficking operations have identified that women often hold characteristics that make them more trusting to other women and allow them to exploit those characteristics to gain trust and favour with potential victims. Women therefore appeal to the emotional needs of other women, exploiting vulnerability as a recruiting technique and offering a ‘new and exciting lifestyle’, ‘sense of empowerment’ or ‘sense of belonging’ as enticement to the industry (Roe-Sepowitz et al., 2015). Roe-Sepowitz et al. (2015) conducted research on the role of female pimps in human trafficking organisations and sought to categorise their typologies by analysing a number of legal cases seeking convictions. In the case of female pimps, there existed four distinct categories; Madam, Handler, Family member and ‘Girilla’. The madam was often deemed to be an individual experienced in the sex industry that would recruit and train new girls, whilst managing and setting up dates and often working alongside them to make money. The handler category was that used to describe traditional trafficking behaviour. Females in this category were often described as being peripherally involved in sex-trafficking by assisting in

the physical transportation of victims, acting as an accessory to crimes committed by male family members or significant others, or assisting with creating photographs for online sex ads (Roe-Sepowitz et al., 2015). An example of this was a mother of a male sex trafficker who would drive the girls to meetings arranged by her son and then wait in the car to transport victims back to where they were being kept (Roe-Sepowitz et al., 2015). The family member pimp, refers to pimps in a position of authority, often a relative, who is pimping individuals from their own families. In the case of Roe-Sepowitz et al. (2015), this included a real example of a mother prostituting her two daughters, 13 and 15 years of age, and taking the profits for herself. The final category of female pimp is the 'girilla', a term adopted to describe a female equivalent of a male guerrilla pimp who predominantly uses brute force as a means of control over their victims. Girilla pimps were found to have utilised threats, beatings, kidnappings, gang-rape and threats of violence towards family members as a means of control over their victims (Roe-Sepowitz et al., 2015). One example of a girilla pimp saw a women kidnap two girls, cousins aged 14 and 15, and then hold them captive in a hotel room, violently forcing them to engage in sex acts with customers for ten straight days before being caught (Roe-Sepowitz et al., 2015).

To assume that women solely portray the role of victims in cases of trafficking is not a true statement. Just as there are many examples of men as victims of trafficking, there are many cases in which women fill active roles in the trafficking of humans, drugs, weapons and wildlife. The role of women in trafficking is distinctly unpalatable because they are used strategically to gain the trust, and empathy required to coerce and control victims. It is none-the-less important to understand that women contribute to the victimisation of other women as well as men and children both through the force and threat of others as well as on their own accord. The author does not wish to suggest that these crimes are any worse or better than those committed by men but simply highlight the findings of articles in this review.

#### 4.2.9. Strategic Management

This section focusses on strategic decision making and the reasons why one organisation may perform better or worse than others. This will focus primarily on topics including, but not limited to, strategic decision making processes such as, innovation, strategy



formulation, alliances, networks, resource and capability allocations, leadership, product markets and geographic location (AOM, 2018).

Evidence of strategic management within trafficking operations primarily occurs in the formulation of cooperative alliances with other trafficking groups for mutual benefits. These relationships primarily involve information sharing and activity specialisation through a series of groups that cooperate to achieve a mutually beneficial goal (Moreto & Lemieux, 2015), in this case, trafficking. As discussed previously, there is evidence of small cells operating as part of a much larger network who are responsible for a key aspect of trafficking supply chain (Arsovska & Kostakos, 2008; Friesendorf, 2007; Hofmann & Gallupe, 2015; Kenney, 2007; Le & Lauchs, 2013; Sullivan, 2002). In terms of strategic management, Hernández (2009) suggests that these networks are one of two types of entities, either a collaborative network organisation, or simply a collaborative network. The difference being the presence of organised and structured activities as well as defined roles of participants, and overarching governance or rules, in a collaborative network organisation. Both Hernández (2009) and Haas and Ferreira (2016) argue that the collection of entities in a collaborative network organisation operate more as one unit as opposed to a series of competing firms who cooperate for mutual benefit. However, there is also evidence to suggest that some criminal networks do operate as a series of different firms and cooperate whilst simultaneously competing with one another (Hernández, 2009; Natarajan, 2006). In a new body of management literature, this term for strategic interdependence between competing firms is called *coopetition*. Dagnino (2009) suggest that research has largely implied a dichotomy between cooperation and competition, a notion which is also apparent in trafficking literature. Many cases of trafficking discuss the evidence of trafficking groups cooperating as part of a strategic network, or competing against one another for territory control, but have not considered the possibility of the two phenomena occurring simultaneously. This type of strategic interdependence is largely a case of maintaining a business environment which is conducive to criminal activity, for example, keeping trade routes secret and sharing information about law enforcement activities, whilst still competing for profitability (Hernández, 2009). While these trafficking organisations compete against one another, often violently, it is crucial to the operation of both groups that certain factors in the business environment remain consistent, which is where cooperation between both groups can be

strategically beneficial (Dagnino, 2009). If these environmental factors were compromised, the operation of all criminal groups who are dependent on that factor would be negatively impacted. An example of this could be a series of groups who compete against one another for the illegal poaching of rhinoceros horns, but are mutually dependent on one primary trade network to sell their products. If law enforcement were to compromise this trade network, it would impact all poachers. Therefore, it is in all of the traffickers' best interests to cooperate on efforts regarding the suppression of law enforcement.

Strategic management is perhaps the body of management literature with the greatest overlap of material. There are examples of strategic decision making in the choice of network structures used, the means by which recruitment occurs, the way culture is utilised as a strategic tool and methods through which products are distributed through a supply chain whilst prioritising security over efficiency. There is therefore a great deal of scope for suggesting that the application of strategic management theory is extremely beneficial to understanding the practices of traffickers. Concepts such as strategic decision making, strategy formulation, strategic alliances or networks, and market choices all offer valuable insight into explaining and understanding the actions of traffickers.

#### 4.2.10. Technology and Innovation Management

Technology and innovation management is concerned with the management of strategic, behavioural and operational issues that arise from the application of both technological and innovation processes. These arise from an ever changing market in which technology is changing at a rate that requires organisations to adapt and innovate rapidly, in order to remain competitive. This applies as much, if not more, to criminal organisations compared to formal organisations, as criminal organisations must always stay ahead of law enforcement efforts to combat criminal practices. This section will focus on topics including but not limited to technology implementation, e-commerce, research and development, information technology and innovation (AOM, 2018).

Across the broad body of trafficking literature, there exist a number of examples of technological implementation typical to almost all cases of trafficking organisations. Examples of this include the implementation of communication technology such as cloned cell-phones, beepers or disposable phone cards for undetectable communication (Kenney, 2007), or basic

media such as cameras for surveillance and security (Morselli, 2010). Similarly, the introduction of virtual currency such as bit-coin represents an example of innovatively implementing new technology (Bichler, Malm, & Cooper, 2017). Bit-coin is a near untraceable crypto-currency that allows retailers and customers to buy and sell illicit products or services online. This significantly reduces the risk of monitoring or detection from law enforcement groups as traffickers can anonymously sell illicit commodities online, then ship them via post at much lower risk to their operation than other means of traceable transactions (Broséus, Rhumorbarbe, Mireault, Ouellette, Crispino, & Décary-Hétu, 2016). Broséus et al. (2016) describe how these crypto-markets use advanced encryption methods to both protect anonymity and prevent the physical interaction of buyers and sellers. This has led to the phenomenon being termed a technological revelation to criminal business. Crypto-markets are also not specific to the selling of illicit products alone, with examples of the internet being used to deliver illicit services online as well. Greiman and Bine (2013) describe predominantly Chinese and Korean markets providing sexual experiences online through webcam interaction. These victims are often coerced into performing sex acts for paying customers but at significantly lower risk to both traffickers and customers. This is due to the fact that victims are not required to be moved and can be easily controlled from one location while customers can remain anonymous online and are not required to leave their house to access these services.

There also exists a number of examples where applications of technology are more specific to one sub-category of trafficking. Within the independent body of human trafficking literature, a number of cases revealed that complex implementation of various technology has changed the way their operations run. Greiman and Bain (2013) describe three innovative uses of technology in human trafficking, the first of which was the means by which sex services can be supplied online as described above. The second innovation is known as cyber-trafficking. This involves the strategic use of technology to offer, advertise and sell the services of victims. This is different to what we describe above, as customers do not receive the service online, they simply use the internet to locate a physical service provider. Greiman and Bain (2013) and Tidball et al. (2016) argue that one's ability to remain anonymous online has created an ease and efficiency to the process of exploiting the internet for the purpose of buying sex or other services online. In a study designed to assess themes and relationships on

the process of selling sex online, Hultgren et al. (2016) highlighted the effectiveness with which traffickers can tailor products or services to individual customer needs, whilst still remaining anonymous. Hultgren et al. (2016) found that ads for sex online were designed using code-words that denote traits of an individual regarding their age, ethnicity, gender, location and openness to unconventional sex. In e-commerce literature, this is known as customisation, a concept used by e-retailers to ensure customer satisfaction and loyalty by tailoring the shopping experience to meet the recognised needs of each individual customer (Srinivasan, Anderson, & Ponnnavolu, 2002). It is not the wish of the author to repeat the terminology used on 'back-page' websites to advertise the sexual services of minors. However, the existence of specifically tailored advertising techniques demonstrates the ability of traffickers to implement technology and leverage this to establish a value proposition in their business.

The third key use of technology by human traffickers is for the purpose of identifying, locating, enticing and then recruiting potential victims (Greiman & Bain, 2013). This is undertaken through social networks such as Facebook and MySpace, personal emails or through direct messaging applications such as WhatsApp or Tinder (Greiman & Bain, 2013). Tidball et al. (2016) suggest that the internet, social media, digital platforms and mobile technology have created an ease with which to openly communicate, find and receive information. This means that traffickers are presented with the opportunity to adopt anonymous, falsified profiles and process a mine of personal information about potential victims. They can then use this information to entice and gain the trust of victims in order to recruit them into the industry. The actual recruitment, as discussed in the Human Resources chapter, is also often utilised in the forced labour side of human trafficking, not solely sex trafficking (Greiman & Baine, 2013). Greiman and Baine (2013), suggest recruitment agents or fake websites advertising employment opportunities or immigration assistance are used to entice and establish communication lines with potential victims. The process for this is a basic internet marketing technique, whereby online ads are used to draw people to a website, the website then requires you to register by entering basic information and providing an email address with which the website can then provide further information to you about their product or service. Through this process, the website builds a database of email addresses of customers interested in what they offer hence establishing a line for communication. From

here, one-on-one communication between traffickers and potential victims is established and can be exploited to lure and recruit victims through false promises of employment and debt bondage.

Within the independent body of wildlife trafficking literature, we see another use for technology which is more strategic than innovative. According to Ayling (2013), the strategic implementation of new technology for locating, tracking and hunting animals is strengthening the wildlife trafficking industry. This is because the financial and technical capacity of some wildlife trafficking groups exceeds that of the agencies trying to combat the crimes (Ayling, 2013). The use of infrared sensors, high powered weaponry, communication technology, night vision goggles, helicopters, dive equipment, underwater sonar and specially equipped fishing boats and aircraft are a number of the advanced technologies used in the strategic and operational aspects of wildlife trafficking (Ayling, 2013; Warchol & Harrington, 2016). Unfortunately, this represents a means by which local law enforcement agencies are either equally matched or not matched well enough to counter and control the illicit poaching and harvesting of wildlife in problem countries.

### 4.3. Primary Research Findings

This section concludes the results and discussion by summarising the key findings of the systematic review. This is first presented as an assessment of the state of current trafficking literature and then a summary of the findings from the application of management literature. This will serve as a means to answer research objective three; how can the understanding established from objectives one and two highlight areas conducive to combatting trafficking crimes?

#### 4.3.1. Article Characteristics

This study revealed a number of findings in regard to the state of current trafficking literature. First and foremost, it was revealed that the topic of trafficking business practices is expanding, resulting in a positive growth trend to the number of articles published each year. This is likely due to the fact that the extent of these crimes are growing, and therefore research volume is increasing as a consequence. It was also revealed that incidence of co-authorship was lower in this study than in related fields. This suggests that while the topic of

trafficking business practices is growing, the ease or practicality of collaboration is still low. This may change if the growth trend to articles published per year continues to increase.

This study found a heavy imbalance between developed and developing countries organisational affiliation. While this finding was not a surprise, it is one of the most important findings as it clearly highlights the fact that regions whose environmental conditions make them a haven for crime, lack the capacity to effectively research and implement anti-trafficking strategies.

There was also evidence that showed the low representation of criminal business practices in management journals. As discussed, this was not surprising, but should be addressed given the wide acknowledgement of crime as a business. Furthermore, there was an acknowledgment of some conceptual discrepancies found in an analysis of subject definitions used. This will be addressed further in section 5.5.

Of the 63 articles included in this review, 34 were from a general industry perspective, with 23 falling into the network grouping, and the remaining six falling in the group category. As research on a network or group was largely for the purpose of informing law and policy, and research on the broader industry was more for informative and academic purposes, we can conclude that a reasonably close split of both academic and practical research was carried out on trafficking.

#### 4.3.2. Management Theory

The content and conclusions drawn from an application of management theory present another body of key findings. First and foremost, certain factors such as poverty (Kara, 2009; Ryan & Hall, 2001), poor law and legislation (Southwell et al., 2018), high levels of corruption and inadequate support for local communities (Ayling, 2013; Kideghesho, 2016), all facilitate an environment in which crime is a low risk and high reward industry, driven by necessity as opposed to opportunity. As demonstrated in research on entrepreneurial motivation in a criminal context, the vast majority of individuals who resort to crime are not doing so to achieve a sense of fulfilment or personal aspiration; they do so because their basic needs cannot be met by any other means (Ayling, 2013; Shane et al., 2003). Rather, individuals living in impoverished communities are presented with the opportunity to survive

and support their family through illegal means and take that opportunity for lack of any better option (Ayling, 2013; Kideghesho, 2016; Shane et al., 2003).

Many trafficking networks stem from or depend on local communities and their knowledge, skills, regional customs, religions, trade routes and languages (Moyle, 2009; Roe et al., 2017). This is an example of strategically using culture to benefit an organisation which is very different to a traditional understanding of organisational culture theory. This is because the majority of criminal networks utilise external cultures for strategic benefit as opposed to fostering their own (Moyle, 2009). However, this was contrasted by large-scale mono-ethnic trafficking groups who chose to impose a strict set of rules and customs which all members must abide by (Le & Lauchs, 2013). This facilitates a culture that instils loyalty, commitment and pride in its members, thus increasing organisational effectiveness (Kostelnik & Skarbek, 2013).

While not necessarily leaders, individuals within trafficking networks have skill sets that should make them high-priority targets for law enforcement (Thachuk & Saunders, 2014). These individuals have knowledge or skills acquired from either their culture, upbringing or previous professions that make them far harder to replace than standard recruits (Moyle, 2009). The removal of these individuals may therefore have a greater impact on a supply network. Similarly, women in crime have particular characteristics that make them strategically beneficial for certain roles within a trafficking network (Hübschle, 2014; Roe-Sepowitz et al., 2015). They are perceived as being more trustworthy and therefore a valuable asset during the recruitment of potential victims of human trafficking (Roe-Sepowitz et al., 2015). However, women remain marginalised in many regions of the world, making them targets for low priority or expendable roles in criminal businesses (Le & Lauchs, 2013; Li & Liu, 2017).

Lastly, trafficking groups are equipped and prepared to deal with fast changing and unpredictable environments. This is evident in the way in which they organise, structure and manage their operations, choosing to utilise a loose, flat structure with a decentralised hierarchy to maximise adaptability and resilience (Arsovska & Kostakos, 2008; Friesendorf, 2007; Hofmann & Gallupe, 2015; Kenney, 2007; Le & Lauchs, 2013; Sullivan, 2002). This dynamism is imperative to the operations of almost all trafficking operations and is therefore

a point of strength for them (Kenney, 2007; Le & Lauchs, 2013). There are also examples of these groups cooperating whilst simultaneously competing for mutual strategic benefit (Dagnino, 2009; Hernández, 2009; Natarajan, 2006). This is crucial to the operation of both groups to ensure certain factors in the business environment remain consistent (Dagnino, 2009).

The findings of this thesis highlight the fact that criminal organisations have adapted over thousands of years to become as effective in their operations as they are today. Generating revenues in the billions, the adaptive nature of these organisations cannot be beaten by solely making more arrests or rescuing more victims. Evidence suggests that these means to combat trafficking, can be overcome and adapted to by these criminal businesses, with only minimal impact to the industry (Kenney, 2007). The next section makes a number of suggestions that could be put in place to address the findings of this review.

#### 4.3.1.      Suggestions for Action

This section seeks to investigate the compilation of evidence above and identify areas for practical action. This will be done through a combination of synthesising suggestions in literature as well as offering suggestions that were not suggested in the body of literature in this review.

By understanding the business practices of traffickers, we can clearly see a network of small groups that operate as part of a global network. These networks are not the same as an industrial supply chain or mechanical systems where if you remove one link the operation destabilises. This industry is adaptive, dynamic and ever changing and must be viewed as a market that responds and changes based on environmental conditions. A greater economic understanding of trafficking will therefore serve us well as there will always be a demand for sex, drugs and other illicit commodities (Tidball et al., 2016; Verhoeven et al., 2013), and individuals will always be able find a means to cultivate, produce, manufacture or acquire a supply.

Education and awareness initiatives in both source and destination countries are a practical solution to addressing the findings of this study. The crimes associated with trafficking need to be public knowledge. The degrees of separation between any individual



and trafficking crimes is a prime example of the extent to which trafficking impacts our world without us knowing (Kara, 2009; Obuah, 2006). There is therefore opportunity to educate developed countries on these crimes and make them aware of the fact that the products or services they purchase could be the result of slave labour. This will have a small but positive impact on the demand for those products and services and as a consequence reduce the demand for further labour. Similarly, an increase in awareness could inspire research interest, which in turn informs anti-trafficking strategies and further means for combatting the crimes.

Another practical solution is the empowerment of those living in impoverished communities. Basic changes to enhancing infrastructure, such as the building of safe roads, facilitates easier access to markets and other services that provide more opportunity to families living in these circumstances. Similarly, the teaching of basic skills such as sewing or trades afford individuals the opportunity to work in legitimate industries as opposed to resorting to crime. Likewise, education of communities in terms of healthcare, schooling and safety will enhance their way of living and help to foster a stronger community; consequently reducing the dependence placed on crime to survive.

Further opportunity lies in the identification of vulnerabilities in the supply network such as key individuals and key practices. This thesis identified that unlike a traditional organisation, many trafficking groups do not operate using a formal hierarchy, choosing instead to diffuse information and responsibility throughout the network for security reasons. Where in traditional organisations, the CEO or leader would be the target for removal in order to disrupt an organisation, in trafficking organisations, the key targets are those with unique skill sets. Examples of this were discussed with regard to individuals who are specialists in areas such as navigation, forgery, linguistics, chemistry, hunting, or cultural understanding. Removal of these individuals from the supply network presents a far greater opportunity to disrupt operations than trying to identify and prosecute leaders as their skill sets are far harder to replace.

Another practical solution is the aligning of interdisciplinary efforts to combat trafficking. Maximising cooperation between disciplines, anti-trafficking strategies could be equally as adaptive in combatting the crimes as criminals are in committing them. There exists a large number of NGO organisations who take it into their own hands to help combat

trafficking by rescuing victims, providing aid to impoverished communities, and bringing their own sense of justice to the criminals who participate in these activities. Unfortunately, these activities are not always in line with the objectives of political bodies or law enforcement agencies. Cooperation is therefore required between actors who are seeking to combat these crimes. Burke (2017) suggests that liaison contacts and a network of NGO groups, government bodies, law enforcement groups, aid providers, border patrol workers, healthcare providers and the wider community, is required to combat criminal efforts. This network must be as adaptive and dynamic as criminal groups in order to respond to the environment the way traffickers do. Evidence would suggest that communication and cooperation between these groups is below the standard required to successfully control the rapidly growing trafficking industry. The Federal Bureau of Investigation (FBI) enlists the help of NGO's and community groups such as churches who are uniquely positioned to identify potential victims or refer possible cases (Burke, 2017). Similarly, the United Nations delegates various responsibilities to a number of NGO's due to their specialised nature and unique positioning (United Nations, 2018). These examples demonstrate the fact that large scale organisations who share a common goal have committed to combining their efforts to combat trafficking as opposed to operating independently of one another.

These solutions offer some practical contributions based on what can be learned from the findings in this review. The author does not wish to suggest that these are the only practical contributions, nor do they wish to suggest that efforts to combat trafficking have been poor to date. The solutions discussed above constitute the broadest and most widely applicable suggestions that could contribute to improving the efforts of combatting the four trafficking categories discussed in this thesis.

#### 4.4. Chapter Summary

This section sought to answer the three key research objectives and present a summary of findings in a way that allows the reader to understand how the application of management theory can aid in expanding our conceptual, practical and theoretical understanding of trafficking.

The first section analysed the characteristics of articles in the review and addressed research objective two: how do various article characteristics such as authorship, publishing

year or journal outlets describe the body of trafficking literature? Through a synthesis of data, findings were able to be interpreted and presented in a way that provided insight into the current state of trafficking literature with a number of positive and negative themes emerging.

The second section highlighted the key processes and practices of trafficking operations in order to fulfil the primary research objective: In what ways do core management theories, concepts and frameworks, help to explain the business activities and managerial behaviour utilised by trafficking organisations? Using ten current practices obtained from the Academy of Management (2018) as critical lenses, data was able to be drawn out and explained using the concepts and theories of relevant management fields.

The findings were then synthesised into a summary of research conclusions which sought to explain and reveal points of strategic weaknesses identified in trafficking practice. It was concluded that through a business analysis of trafficking, we can clearly see the level of dynamism and adaptability that makes it impractical to target groups or individuals. Instead, it was revealed that crime and the motives for pursuing it, stem from a number of conditions present in the trafficking business environment and that a reallocation of resources set to encourage cooperation between different anti-trafficking disciplines could potentially yield far greater success.

This chapter was concluded by suggesting points of practical action based off identifiable weaknesses to further assist in combatting trafficking practice.

## 5. Concluding Chapter

### 5.1. Introduction

This chapter concludes this thesis by reiterating the research purpose and how key research objectives were successfully answered, before discussing the various managerial and theoretical contributions that were made. The limitations of this study will then be addressed before being followed by recommendations for future research. Finally, a conclusion will bring the thesis to a close with reference to primary findings of the systematic review and its overall contribution.

### 5.2. Summary of Research Purpose

This thesis aimed to contribute a small effort towards combatting the global issue of trafficking. Through an initial review of literature, it was possible to deduce that trafficking is a problem of global proportion, impacting a broad spectrum of countries and large numbers of people (U.S. Department of State, 2017). It was also possible to deduce that organised crime constitutes an extremely lucrative business (Gaines & Kremling, 2013; Shelley & Bain, 2015). Despite this, an initial review of literature revealed that trafficking was primarily researched through the critical lens of law and policy, law enforcement and human rights but only researched minimally from a business perspective. A range of research recommendations were able to justify the need for research on trafficking by suggesting that research be carried out from a business perspective in order to examine trafficking as an organisational process and define their practices using business theory (Aronowitz & Koning, 2014; Kara, 2009; U.S. Department of State, 2016). It was concluded, therefore, that there was value in synthesising the conclusions of trafficking literature and exploring the phenomenon from a new, broad management perspective, as a means of both expanding the application of management theory and combatting the trafficking crime. Through the means of a systematic review, this thesis determined the extent to which core management theories, concepts and frameworks, help to explain the business activities and managerial behaviour utilised by trafficking organisations. This was supplemented by secondary research objectives relating to how article characteristics describe the state of current literature and whether the

information learned from the two primary objectives could possibly highlight areas of weakness to aid in combatting the crimes.

### 5.3. Research Contributions

The findings of this systematic review provide both managerial and theoretical contributions. These findings will be addressed in the sections below.

#### 5.3.1. Management Implications

First and foremost, this thesis provides a comprehensive application of management theory to a setting beyond the traditional context. This affords management scholars the opportunity to see the strengths and shortcomings of management concepts and theories when applied to a criminal context. This thesis drew on the concepts from ten primary management disciplines from the Academy of Management (2018), and applied aspects of its theory to activities evident in trafficking literature. While previous research had effectively described the processes and practices used by traffickers, application of management theory had been extremely minimal. To the best of the author's knowledge, this is the first systematic review that sought to synthesise findings on trafficking practices and explain them using management theory. This research has therefore been able to provide the first example of how various management disciplines can offer valuable insights into trafficking operations and highlight areas where management theory is applicable or inapplicable to a broader setting, rather than the traditional business context.

This thesis provided examples of how the concepts and theories of disciplines such as operations and supply chain management, communication management, strategic management and international management offer a means to effectively explain the purpose and motivation for a number of activities in the trafficking industry. This suggests that these theories withstand an application to a broader context than its original purpose. Conversely, it was also highlighted that in some areas of conflict management, entrepreneurship, and organisational behaviour, the related concepts and theories fell short of fully explaining criminal business practices. This was largely due to the illegality of criminal activities and the lack of precedence for building a management theory or concept that has scope for going beyond a legal means to achieve or explain something. For example, aspects of conflict

management and human resource management theory do not traditionally take into account the levels of violence that occur in areas of the trafficking industry. There were examples of extreme violence used as control methods by criminal leaders, to manage both victims and offenders in trafficking, which is clearly beyond the scope of traditional OB, HR or conflict management theory. New theory may therefore be required to account for a spectrum that goes beyond legal methods, to manage a business in order to further understand trafficking behaviour and practices.

Finally, an assessment of the state of current literature as addressed in this thesis also has some significant implications to the field of management. Fundamentally, this research provides a new level of transparency on the descriptive characteristics and themes present in literature on the practices of trafficking organisations. It was revealed that there is a distinct lack of research on criminal business practices in the field of management. There is a distinct possibility this trend is due to ethical concerns regarding research on illegal practices and the restrictions imposed by ethics committees. The restrictions imposed by academic organisations could therefore be affecting research output on this topic due to its sensitive nature and potential risks to researchers. The low volume of research on this topic was supplemented by a lower than anticipated rate of academic collaboration and heavy weighting of research production from developed rather than developing countries. This gives weight to the fact that various biases may be impacting the legitimacy of research findings. Universities and governing bodies should therefore encourage networking activities and conferences that afford researchers the opportunity to meet and develop relationships conducive to academic collaboration. This will assist in developing the positive growth trend of research in this field identified in this review, as well as promote international partnerships and alliances. It is likely that the facilitation of such activities will positively influence the state of current literature by improving the variation of organisational and cultural nuances to the topic, hence reducing the effects of biases identified in this body of literature.

This thesis has brought emphasis to an underrepresented area within the field of management. By providing a comprehensive application of core concepts and management theories to trafficking literature, this research has effectively broadened an understanding of management and its applicability to an expanded setting. It is hoped that as this has not

previously been examined, this research will act as a foundation for, and means to build on, further research.

### 5.3.2. Practical Implications

This thesis shed new light on the processes and practices conducted by traffickers by applying a new critical lens to the phenomenon. The purpose of this was to highlight areas where other critical lenses may have fallen short in explaining the motivations or means behinds the activities involved in trafficking operations. One of the primary contributions this research offers is, as described above, that to the author's best knowledge this is the first systematic review seeking to achieve this objective. It is therefore hoped that the comprehensive application of theory that this review offers, can contribute to both broadening the understanding researchers and practitioners have of the trafficking phenomenon, as well as identifying points of strategic weakness in their operations.

The primary practical contributions are the means by which certain practices of traffickers can be understood differently through a management perspective. For instance, it is understood that the choice to operate as small groups forming large interconnected networks is for the purpose of adaptability and security (Arsovska & Kostakos, 2008; Friesendorf, 2007; Hofmann & Gallupe, 2015; Kenney, 2007). It was also identified that unlike many formal sector organisations, security is of higher priority than efficiency (Hofmann & Gallupe, 2015). These factors drive the motivation to remain as small groups that cooperate to gain market presence, as opposed to grow independently into large scale hierarchical organisations (Shane et al., 2003). It was also learned that this flat, decentralised network structure, promotes resilience and affords strategic benefit to an operation that a less dynamic structure could not offer. These knowledge contributions offer a new level of understanding that can be practically applied to law enforcement and law and policy research seeking to combat trafficking practices.

In addition, the understanding established from theory on organisational culture, gender and diversity, and strategic management explain that criminal organisations both depend on, and exploit the environmental factors that result from poverty, corruption and changes to foreign trade due to globalisation (Dagnino, 2009; UNODC, 2018; 2000; U.S. Department of State, 2017). This provides knowledge with which to effectively allocate

resources for improving marginalisation, poverty, inequality and injustice and consequently reducing crime rates. Improving the conditions of regions and communities that resort to crime out of desperation, will go a long way in reducing the number of both offenders and victims, and should therefore be the priority looking forward.

Similarly, this knowledge may also highlight areas that help to inform the efforts of law enforcement and legislation through an identification of weak points within the supply network, such as key individuals or key practices. These findings stem from an application of human resource management, international management and operations and supply chain management theory. This thesis highlighted the means by which facilitation of effective trade relationships occurs, as well as how the supply of illicit commodities occurs both nationally and internationally. It was also discussed how crucial some members are to the supply network, despite not being in a leadership position. These findings offer practical implications by informing the efforts of law enforcement and legislation through an identification of potential vulnerabilities in trafficking operations.

This thesis has demonstrated a new means with which to understand the practices of various trafficking organisations. Fundamentally, this contributes knowledge that can be practically applied to the fields associated with combatting trafficking crimes. By providing a comprehensive application of core concepts and management theories to trafficking practices, this research has broadened an understanding of how and why traffickers choose to run their businesses the way they do. This acts as a foundation for which to inform both further research and practical investigation into the strategic weaknesses of trafficking organisations.

## 5.4. Research Limitations

As in all cases of research, this study was subject to some limiting factors that need to be considered when interpreting the findings of this thesis. These limitations primarily arose in the identification, collection and interpretation of articles used for this review.

First and foremost, this study was limited by language bias as only literature written in English was included in this study. This was due to a combination of time and resource constraints restricting the possibility for translation and the author being fluent in only



English. There is a distinct possibility that the high degree of literature with organisational affiliations from the United States and United Kingdom was largely due to the fact that they are English speaking countries. Had the study been able to include literature in multiple languages, it is possible that a greater spread of international organisational affiliations would have been included. Similarly, the use of Scopus as a primary source of material may have further impacted this limitation as its publication language is English and may inherently lend itself to the prioritisation of English speaking authors and literature written in English.

As is the case with many systematic reviews, the successful identification of relevant articles was dependent on the author using key words that appear in the title abstract and keywords section of relevant articles. It is safe to assume that articles which present findings on the activities associated with trafficking would share keywords with those identified in both the initial scoping study and systematic identification of regularly occurring key words done on Scopus. However, there is the potential for the key words chosen to have not identified some relevant material. This is a limitation of the systematic methodology employed in this review, however, the alternative of screening all articles manually was deemed highly impractical and subject to greater bias. This is because justification of a systematic and bias free process is difficult when left primarily to author interpretation.

Another key limitation of this thesis was the emphasis placed on sex trafficking. While sex trafficking constitutes possibly the most high profile case of trafficking, trafficking for the purpose of forced labour was significantly underrepresented in literature. Despite higher instances of labour trafficking occurring, research on human trafficking tended to take a more specific view and focus heavily on sex trafficking alone, which represents only a portion of the wider industry. The human trafficking element of this thesis therefore lends itself to research on sexual exploitation of humans due to the inherent bias of literature on human trafficking.

Finally the author wishes to address the limitations imposed by utilising grey literature as a source material. As discussed earlier, due to the nature of this research, the inclusion of grey material from government documents, legal reports and conference proceedings offered valuable insight towards the objective of this thesis. The limitations imposed by this, however, are due to the fact that some grey sources maintain a non-peer-reviewed status. This lends itself to questioning the accuracy of findings in this material. However, this status was only

due to the fact that publishing in academic journals was not the primary concern of the sources included as grey material. This actually contributes to helping minimise publication bias; a bias which reflects the likelihood of reports with positive results being published as opposed to those with negative or insignificant results (Paez, 2017). Similarly, means were included in the methodology of this review for systematically locating, analysing and presenting data from grey sources to reduce the negative impact of potential biases and inaccuracies. While the inclusion of grey literature may have had an impact on the accuracy of findings due to some reports not being peer reviewed, the minimisation of publication bias, and systematic means of analysis constitutes a balanced impact of grey literature on this review.

## 5.5. Recommendations for Future Research

This section addresses a number of areas that may further contribute to existing knowledge. These were identified throughout a combination of the research limitations and observation while conducting this research.

Firstly, an opportunity lies in addressing some of the limitations to this thesis. Future research could first be directed towards repeating this study in languages other than English. This could determine the extent to which language bias effected the results of findings in regard to trafficking processes and practices. An alternative language, may result in finding an increased number of articles that present findings from another geographic location, therefore shedding new light on the practices of that region. Similarly, it could also be suggested that a repeat of this study, in its entirety, should be done to assess the repeatability and systematic nature of this review. This would test the strength of the review protocol and means with which bias free conclusions were drawn by the author.

The discrepancies in defining terms associated with trafficking provide an opportunity for further research. There are cases of definitions used in academic articles that present finding on trafficking, particularly human trafficking, where the three primary conditions; act (i.e., recruitment), means (i.e., the use of force or deception) and purpose (i.e., forced labour or sexual exploitation) are not addressed. A comprehensive study of definitional concepts may help to further research contributions on the topic of trafficking. This would ensure that

all authors understand what constitutes trafficking and will therefore help to eliminate misinterpretations or misrepresentations in future academic research.

For both practicality and accuracy, it was decided that this thesis would utilise date criteria and exclude all articles dated pre-2000 to ensure relevance. It was agreed that changes to technology such as the expanding use of the internet and introduction of smartphone technology as well as the implementation of new legislation such as the Trafficking Victims Protection Act (2000), the Firearms Act (2004) and Modern Slavery act (2015) will have impacted the way trafficking groups operate in recent years. It was decided upon, that the processes and practices of trafficking groups prior to the year 2000 were no longer viewed as current practice and therefore not applicable to this research. A decision was made to exclude questions of historical relevance in this thesis. However, while outside the scope of this research, there lies an opportunity to examine the changes to trafficking behaviour over time to assess whether changes to legislation or technological innovation has impacted the way in which traffickers operate. By analysing trafficking behaviour over a long time frame, researchers could be able to draw conclusions as to the rate of response traffickers have to various environmental changes and assess their patterns of adaptation as well as the effectiveness of legal and law enforcement efforts. This may highlight areas of effectiveness or ineffectiveness and assist in further combatting trafficking activity.

There exists an area of ambiguity in this review caused as a result of the exclusion of articles relating to human smuggling. Smuggling does not meet the definitional criteria of this review as smuggling does not use coercion to manipulate people into becoming involved, rather participants are largely willing and voluntary. Smuggling also requires the physical crossing of a border and in most cases the individual in question is also the paying customer. While irrelevant to this study, there may in fact still be instances where the business of smuggling is conducted by similar or even the same organisations that traffic commodities. Similarly, there may be cases where people are willingly smuggled into countries only to become trafficked at their destination. In these cases, there may be value in understanding the business practices of smugglers, as well as traffickers, to either highlight similarities or differences that uncover further truths regarding the nature and extent of the crimes.

Lastly, due to the difficult nature of gathering primary data on criminal activity, there exists a wide spread of statistics used in academic research. These statistics are usually quoted regarding estimates of revenues within an industry, volume of commodities trafficked or number of individuals involved in a particular part of the trafficking process. Variations also exist in these statistics with regard to the sources used to obtain references, with academics largely relying on other academic sources for reference. As discussed, many of the findings produced by government agencies are not published in academic journals but their findings are still subjected to rigorous publishing standards if they are used to inform international legislation and anti-trafficking guidelines. It could therefore be of value to compile statistics from both academic and non-academic sources in a form of systematic review or meta-analysis to assess the degree of spread, overall accuracy, and source of reference discrepancies of these statistics.

## 5.6. Conclusion

This thesis has explained how core management theories, concepts and frameworks can be used to help explain the business activities and managerial behaviour utilised by trafficking organisations. In conjunction with an understanding of how various article characteristics describe the current state of literature on trafficking practices, research contributions were able to be made. Applying management theory to trafficking practices afforded the opportunity to stretch the context within which these theories are traditionally applied; broadening an understanding of their relevance to new business settings. This provided contributions to the field of management. This thesis also applied a new critical lens to the phenomenon of trafficking illicit commodities. Thus, providing practical contributions by strengthening understanding of the means and motivation behind the actions of traffickers and identifying points of strategic weakness to inform anti-trafficking strategies. This research, therefore, contributes one small step to combatting a crime that threatens national security, public safety, and challenges the freedom, dignity, and basic human rights of people across the world.

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## 7. Appendices

### 7.1. Final Scopus Search Strings

#### 7.1.1. Human Trafficking

( TITLE-ABS-KEY ( "Human\*" OR "Person\*" OR "People" ) AND TITLE-ABS-KEY ( "Traffick\*" ) AND TITLE-ABS-KEY ( "victim\*" OR "crim\*" OR "exploit\*" ) AND TITLE-ABS-KEY ( "Organisation\*" OR "Business" OR "Management" ) AND NOT TITLE-ABS-KEY ( "migra\*" OR "Protein\*" OR "Receptor" OR "Virus" OR "Molec\*" OR "Biolog\*" OR "Cancer\*" OR "Tumor" OR "lymphocit\*" ) ) AND ( LIMIT-TO ( LANGUAGE , "English " ) )

#### 7.1.2. Drug Trafficking

( TITLE-ABS-KEY ( "Drug\*" OR "Narctoic\*" ) AND TITLE-ABS-KEY ( "Traffick\*" OR "Trad\*" OR "Smuggl\*" ) AND TITLE-ABS-KEY ( "illicit\*" OR "crim\*" OR "exploit\*" ) AND TITLE-ABS-KEY ( "Organisation\*" OR "Business" OR "Management" ) AND NOT TITLE-ABS-KEY ( "Protein\*" OR "Receptor" OR "Virus" OR "Molec\*" OR "Biolog\*" OR "Cancer\*" OR "Tumor" OR "lymphocit\*" ) ) AND ( LIMIT-TO ( LANGUAGE , "English " ) )

#### 7.1.3. Weapon Trafficking

TITLE-ABS-KEY ( "Weapon\*" OR "Arm\*" OR "\*Munition\*" ) AND TITLE-ABS-KEY ( "Traffick\*" OR "Trad\*" OR "Smuggl\*" ) AND TITLE-ABS-KEY ( "illicit\*" OR "crim\*" OR "exploit\*" ) AND TITLE-ABS-KEY ( "Organisation\*" OR "Business" OR "Management" ) AND ( LIMIT-TO ( LANGUAGE , "English " ) )

#### 7.1.4. Wildlife Trafficking

TITLE-ABS-KEY ( "Animal\*" OR "Wildlife\*" OR "Flora\*" OR "Fauna" ) AND TITLE-ABS-KEY ( "Traffick\*" OR "Trad\*" OR "Smuggl\*" ) AND TITLE-ABS-KEY ( "illicit\*" OR "crim\*" OR "exploit\*" ) AND TITLE-ABS-KEY ( "Organisation\*" OR "Business" OR "Management" ) AND ( LIMIT-TO ( LANGUAGE , "English " ) )



## 7.2. Ethics Approval



### HUMAN ETHICS COMMITTEE

Secretary, Rebecca Robinson  
Telephone: +64 03 369 4588, Extn 94588  
Email: [human-ethics@canterbury.ac.nz](mailto:human-ethics@canterbury.ac.nz)

Ref: HEC 2017/73/LR

5 September 2017

Matthew Little  
Management, Marketing and Entrepreneurship  
UNIVERSITY OF CANTERBURY

Dear Matthew

Thank you for submitting your low risk application to the Human Ethics Committee for the research proposal titled "Understanding the Phenomenon of Trafficking Commodities: A Systematic Review".

I am pleased to advise that this application has been reviewed and approved.

Please note that this approval is subject to the incorporation of the amendments you have provided in your email of 30<sup>th</sup> August 2017.

With best wishes for your project.

Yours sincerely

*R. Robinson*  
pp.

Associate Professor Jane Maidment  
*Chair, Human Ethics Committee*

## 7.3. Review Panel Information Form



Department of Management Marketing and Entrepreneurship  
Email: [matthew.little@pg.canterbury.ac.nz](mailto:matthew.little@pg.canterbury.ac.nz)

### **Understanding the Phenomenon of Trafficking Commodities** An Analysis of the Business Models and Strategies **Information Sheet for XXX**

Hello, my name is Matthew Little, I am a postgraduate student at the University of Canterbury working towards the completion of my Master's degree. I am writing a Thesis that examines research of various international trafficking organizations to determine whether an application of management theory can be applied to the context of illegal business activities. I am writing to you because it is standard practice in this type of research to utilize the expert opinion of individuals who have more relevant knowledge, insight and experience in the focal topic of research.

If you choose to take part in this study, your involvement in this project will be to assist in the validation of the research scope, questions and strategy based on your personal knowledge and experience. This will be done via interview, skype or email exchange depending on your preference. Given your expertise, the primary role you will be fulfilling is providing an expert opinion that assists in validating research strategies and review protocol.

In the performance of the tasks and application of the procedures there are risks of potentially sensitive information pertaining to your work or personal experiences being identified. For this reason it is my intention to conduct all interviews, telephone calls or skype conferences in a sound proof meeting room such as those provided on campus or a public library and that all data be stored safely on password protected devices. There is also a risk that due to the nature of the topic, you may find some facts or research findings morally disagreeable and/or emotionally distressing. Please be aware that participation can be stopped at any time should this occur and appropriate support services contacted if needed.

Participation is voluntary and you have the right to withdraw at any stage without penalty. You may ask for your raw data to be returned to you or destroyed at any point. If you withdraw, I will remove information relating to you. However, once analysis of raw data starts following our first meeting, it will become increasingly difficult to remove the influence of your data on the results.

The results of the project may be published, but you may be assured of the complete confidentiality of data gathered in this investigation: your identity or information that may lead to your identification will not be made public without your prior consent. To ensure anonymity and confidentiality, all data will be stored on a secure, password protected drive at the University of Canterbury. Only I will have access to this data with the possible exception of my primary supervisor during the process of editing project chapters. The data used in this research will be destroyed 5 years after project completion. A thesis is a public document and will be available through the UCLibrary. **Please indicate to the researcher on the consent form if you would like to receive a copy of the summary of results of the project.**

The project is being carried out as a requirement for a Master of Commerce degree by Matthew James Alexander Little under the supervision of Dr Paul Knott and Professor C. Michael Hall, who can be contacted at [paul.knott@canterbury.ac.nz](mailto:paul.knott@canterbury.ac.nz) and [michael.hall@canterbury.ac.nz](mailto:michael.hall@canterbury.ac.nz) respectively. They will be pleased to discuss any concerns you may have about participation in the project.

This project has been reviewed and approved by the University of Canterbury Human Ethics Committee, and participants should address any complaints to The Chair, Human Ethics Committee, University of Canterbury, Private Bag 4800, Christchurch ([human-ethics@canterbury.ac.nz](mailto:human-ethics@canterbury.ac.nz)).

If you agree to participate in the study, you are asked to complete the consent form and return a signed copy to Matthew at the first meeting or via scanning and emailing.

## 7.4. Review Panel Consent Form



Department of Management Marketing and Entrepreneurship  
Email: [matthew.little@pg.canterbury.ac.nz](mailto:matthew.little@pg.canterbury.ac.nz)

### **Understanding the Phenomenon of Trafficking Commodities** An Analysis of the Business Models and Strategies **Consent Form for XXX**

- ☐ I have been given a full explanation of this project and have had the opportunity to ask questions.
- ☐ I understand what is required of me if I agree to take part in the research.
- ☐ I understand that participation is voluntary and I may withdraw at any time without penalty. Withdrawal of participation will also include the withdrawal of any information I have provided should this remain practically achievable.
- ☐ I understand that any information or opinions I provide will be kept confidential to the researcher and his supervisors and that any published or reported results will not identify the participants should they wish to remain anonymous. I understand that a thesis is a public document and will be available through the UC Library.
- ☐ I understand that all data collected for the study will be kept in locked and secure facilities and/or in password protected electronic form and will be destroyed after five years.
- ☐ I understand the risks associated with taking part and how they will be managed.

*Please check one of the following:*

- ☐ "I agree that the name of my employing institution can be disclosed"
- ☐ "I do not agree with disclosure of the name of my employing institution"
  
- ☐ I understand that I can contact the researcher Matthew Little or one of his supervisors, Paul Knott ([paul.knott@canterbury.ac.nz](mailto:paul.knott@canterbury.ac.nz)) or Michael Hall ([michael.hall@canterbury.ac.nz](mailto:michael.hall@canterbury.ac.nz)) for further information. If I have any complaints, I can contact the Chair of the University of Canterbury Human Ethics Committee, Private Bag 4800, Christchurch ([human-ethics@canterbury.ac.nz](mailto:human-ethics@canterbury.ac.nz))
- ☐ I would like a summary of the results of the project.
- ☐ By signing below, I agree to participate in this research project.

Name: \_\_\_\_\_ Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Email address (for report of findings, if applicable): \_\_\_\_\_

*Please print and sign a copy of this for the researcher to collect at the first meeting. If you are unable to do so, a copy will be provided to you to sign at the first meeting should you accept. Otherwise a signed and scanned copy should be sent via email.*